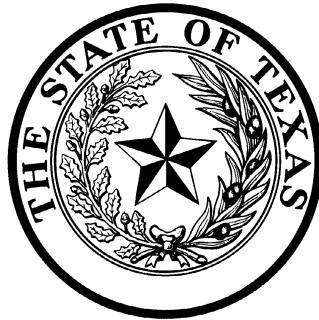


Request for Application

*Academics 2000: First Things First*  
The Texas Goals 2000 Initiative:  
**Reading Improvement Grants**

Authorized By  
Public Law 103-227



Texas Education Agency  
William B. Travis Building  
1701 N. Congress Avenue  
Austin, Texas 78701-1494

**Dated Material-Open Immediately**

**Closing Date–Tuesday, MAY 6, 1997**



# TEXAS EDUCATION AGENCY

1701 NORTH CONGRESS AVENUE ★ AUSTIN, TEXAS 78701-1494 ★ 512/463-9734 ★ FAX: 512/463-9838

MIKE MOSES  
COMMISSIONER OF EDUCATION

February 24, 1997

## TO THE ADMINISTRATOR ADDRESSED:

This competitive Request for Applications provides school districts and shared services arrangements an opportunity to apply for funds under the Texas *Academics 2000* initiative. *Academics 2000* is the state initiative funded under public law 103-227, the Goals 2000: Educate America Act.

School districts and shared services arrangements of school districts working in collaboration with other education, business and community institutions may participate in the *Academics 2000* initiative. A school district must serve as the fiscal agent for this grant, with the exception that an education service center may serve as the fiscal agent for a shared services arrangement of rural school districts.

The primary objective of this *Academics 2000* application is to ensure that all fourth grade students are fully proficient in reading. Applicants must focus on the provision of intensive, sustained professional development and the integration of appropriate instructional strategies and methodologies, including curricular and instructional materials, that will provide students with intensive reading instruction in the early grades (prekindergarten through grade 4). The emphasis of this initiative is on improving early childhood and elementary education in reading, prekindergarten through grade four, through district and campus planning, educator preservice training and professional development. The State Board of Education stipulates that activities funded with *Academics 2000* grants must be limited to activities promoting instructional and academic improvement in the areas of early childhood and elementary reading.

This *Academics 2000* application will fund:

- (A) **Component A (Required): Local Improvement** - district and campus planning (Component A1) and individual school improvement initiatives to implement the plan that improve early childhood and elementary student achievement in reading and include professional development that supports sustained and intensive high-quality educator professional development activities focused on ensuring that all early childhood and elementary educators have the skills and knowledge needed for all of their students to achieve high standards in reading (Component A2); and
- (B) **Component B (Optional): Preservice Education** - improving early childhood and elementary preservice teacher and administrator education programs in reading.

The TEA will award at least 50% of the grants to school districts or shared services arrangements of school districts that serve a greater percentage of economically disadvantaged children (eligible for free-and-reduced school lunch program) than the statewide average. Consideration will also be given to school district shared services arrangements or to groups of campuses within a single district which plan and work together to achieve the primary objective of all fourth-grade students becoming fully proficient in reading. Additionally, strong consideration will be given to applications which integrate appropriate instructional strategies and methodologies including instructional materials and classroom practices that are validated, research-based and proven to be effective and contribute to a balanced reading instruction program. Refer to the Appendix in the RFA for a description of the identified components of effective research-based programs.

We encourage districts to take advantage of this opportunity to apply for and use these funds as a catalyst for facilitating meaningful change in the schools.

For more information about the *Academics 2000* initiative, contact Peggy Mays in the Division of Curriculum and Professional Development, at (512) 463-9315.

Sincerely yours,

(signed)

Mike Moses  
Commissioner of Education

## NOTICE OF INTENT TO APPLY

The undersigned school district hereby files a notice of intent to apply for the *Academics 2000: First Things First*, the Texas Goals 2000 Initiative, Reading Improvement Grants.  
(RFA #701-97-006)

Name of Contact Person \_\_\_\_\_

District Name \_\_\_\_\_ Region # \_\_\_\_\_

District Mailing Address \_\_\_\_\_

District Phone Number (     ) \_\_\_\_\_

District Fax Number (     ) \_\_\_\_\_

\*The filing of this notice is not mandatory; however it will assist the Texas Education Agency in anticipating the volume of applications in order to better expedite the review process and finalize awards.

\*Filing this notice in no way binds the applicant in regards to its application for *Academics 2000: First Things First*, the Texas Goals 2000 Reading Initiative.

\*Applicants who do not file this notice are still eligible to receive funding.

**PLEASE SUBMIT THIS NOTICE AS SOON AS POSSIBLE AFTER RECEIPT  
OF THE REQUEST FOR APPLICATION, BUT NOT LATER THAN  
TUESDAY, MARCH 25, 1997 TO:**

Peggy Mays  
Texas Education Agency  
Division of Curriculum and Professional Development  
1701 North Congress Avenue, Room 3-110B  
Austin, Texas 78701-1494  
FAX: (512) 463-8057

This page of the application may be submitted by FAX or by regular mail.

**ACADEMICS 2000: FIRST THINGS FIRST**  
**THE TEXAS GOALS 2000 INITIATIVE**

**The following is provided in compliance with the Department of Education Appropriations Act:**

(a)	Total funds available for this project:	\$10,060,000
(b)	Percentage which will be financed with federal funds available for this project:	100%
(c)	Amount of federal funds:	\$10,060,000
(d)	Percentage which will be financed with nonfederal sources:	0%
(e)	Amount of nonfederal funds:	\$0

## **Table of Contents**

<b>PART I</b>	<b>Request for Applications (RFA)</b>	<b>Page</b>
<b>Section</b>		
I.	Background Information	1
II.	Application Information	3
III.	Conditions for Submission of Application and Other Requirements	14
IV.	Procedures for Submitting Applications	16
V.	Assistance to Applicants	17
VI.	Calendar of Events	18
VII.	Selection Criteria	18
VIII.	Selection of Applications for Funding Consideration	22
IX.	Review of Applications	23
X.	Use of the Standard Application System (SAS) for Application	23

<b>PART II</b>	<b>Instructions for Preparing the Standard Application System (SAS)</b>	<b>Page</b>
	Instructions for Preparing the SAS	24
Schedule #1	General Information	26
Schedule #2	Certification for Shared Services Arrangements (Formerly Cooperative Projects)	28
Schedule #3	Budget Summary	29
Schedule #3A	Purpose of Amendment	34
Schedule #3B	Payroll Costs	36
Schedule #3C	Professional and Contracted Services	37
Schedule #3D	Supplies and Materials	38
Schedule #3E	Other Operating Costs	39
Schedule #3G	Capital Outlay	41
Schedule #4	Program Abstract	42
Schedule #4A	Program Needs Assessment	43
Schedule #4B	Program Description Literature Review	44
Schedule #4B	Program Description Narrative	45
Schedule #4B	Program Description Objectives and Activities	48
Schedule #4C	Program Evaluation Design	49
Schedule #5	Private Schools	50
Schedules #6A-#6E	General Instructions for Schedules #6A through #6E	51

## **APPENDIX**

A-1

### **PART III Standard Application System (SAS)**

<b>Schedule #</b>	<b>Schedule Name</b>	<b>Page</b>
1	General Information	
2	Certification for Shared Services Arrangements (Formerly Cooperative Projects)	2
3	Budget Summary	3
3A	Purpose of Amendment	4
3B	Support Schedule for Payroll Costs - 6100	5
3C	Support Schedule for Professional and Contracted Services - 6200	6
3D	Support Schedule for Supplies and Materials - 6300	7
3E	Support Schedule for Other Operating Costs- 6400	8
3G	Support Schedule for Capital Outlay - 6600 (Exclusive of 6629)	9
4	Program Abstract	10
4A	Program Needs Assessment	11
4B	Program Description Literature Review	12
4B	Program Description Narrative	13
4B	Program Description Objectives and Activities	14
4C	Program Evaluation Design	15
5	Private Schools	16
6A	Provisions and Assurances	17
6B	Debarment and Suspension Certification	20
6C	Lobbying Certification	21
6D	Disclosure of Lobbying Activities	22
6E	Special Provisions and Assurances	23

**PART I**  
**REQUEST FOR APPLICATION (RFA)**



***Academics 2000: First Things First***  
The Texas Goals 2000 Initiative:  
Reading Improvement Grants

**Request for Application**

**I. Background Information**

**A. Federal Initiative**

**Federal  
Reference:**  
Public Law  
103-227

Goals 2000  
§308(a)

The Goals 2000: Educate America Act, signed into law in March 1994 and effective through 1999, provides a framework for coordinated state and local educational improvement and professional development. Texas has received approximately \$27.1 million in third year funding for activities specified in Title III of the Goals 2000 legislation. This Request for Application provides school districts and shared services arrangements of school districts an opportunity to apply for the \$10.0 million in Goals 2000 funds on a competitive basis. The remainder of the \$27.1 million will be granted to current recipients of Goals 2000 funding in the form of Continuation grants to fund appropriate second and third year activities.

**B. State Initiative**

*Academics 2000: First Things First* is the name of the Texas Goals 2000 initiative. *Academics 2000* provides for state and local activities. At the state level, the *Academics 2000* initiative will continue to support prekindergarten through grade 12 education improvement, including the revision of the Long-Range Plan for Technology and technology based staff development, clarification of the essential elements of instruction, teacher and administrator training, and ongoing professional development. State level activities seek to integrate planning, the essential knowledge and skills, student performance standards, and educator preservice training and professional development.

At the local level, the *Academics 2000* initiative will continue to support broad-based educational improvement at the prekindergarten through fourth grade level, with activities in district and campus planning, teacher and administrator preservice training, and professional development. Local activities funded under the *Academics 2000* initiative focus on early childhood and elementary education to improve the link between planning for improved student achievement in reading and educator training and professional development that provides early childhood and elementary educators with the skills and knowledge needed for all students, including bilingual/ESL and students with disabilities, to achieve high standards.

**C. Primary Objective of the *Academics 2000* Local Grants**

The primary objective of the grants awarded under this Request for Application is:

To improve early childhood and elementary student achievement and ensure that Texas elementary students are fully proficient in reading by the end of fourth grade.

The *Academics 2000* initiative emphasizes the critical role of reading in academic success and supports the goal of Texas public education which ensures that all students will demonstrate exemplary performance in reading, writing and English language arts.

Applicants must also focus on the provision of intensive, sustained professional development and the integration of appropriate instructional strategies and methodologies, including curricular and instructional materials, that will provide students with intensive reading instruction in the early grades (prekindergarten through grade 4). Refer to the Appendix for a description of the identified components of effective research-based programs. Special consideration will be given to applications that propose programs/strategies that address, in particular, components 4, 6, 7, 8, and 9.

The *Academics 2000* initiative will award competitive grants to school districts and school district shared services arrangements that plan and implement academic, instructional, and professional training and development strategies to achieve this primary objective.

State  
References:  
TEC §39.027,  
Exemption;  
19 TAC  
101.3, Testing  
Appropriate  
Students;  
TEC §11.252,  
District-Level  
Decision  
Process;  
§11.253,  
Site-Based  
Decision  
Making; and  
§11.252,  
District and  
Campus  
Planning  
Process.

#### D. Relationship Between *Academics 2000* Local Grants and Other Activities

The *Academics 2000* initiative will fund:

- (A) **Component A: Local Improvement** - district and campus planning (A1) and individual school improvement initiatives to implement the plan, including sustained and intensive high-quality professional development that provides educators with the skills and knowledge needed to ensure that all prekindergarten through fourth grade students perform at high standards in reading (A2); and
- (B) **Component B: Preservice Education** - enhanced and improved early childhood and elementary teacher and administrator preservice education in reading.

The initiative is intended to reach all early childhood and elementary students, including bilingual/ESL students and students with disabilities. It is not intended to restructure eligibility or accountability criteria for students taking the Texas Assessment of Academic Skills.

Strategies for improving student performance, educator preservice education and professional development should be based on the district and campus planning and decision making processes specified in the Texas Education Code. **Additionally, instructional strategies and reading programs described in the application in response to this RFA must be validated, research-based, proven to be effective and contribute to a balanced reading instruction program. Refer to the Appendix—components 4, 6, 7, 8, and 9—for a description of research-based components of beginning reading programs. Programs/strategies that address these components, in particular, will be given special consideration for funding.**

Educators are encouraged to use the *Academics 2000* initiative to connect planning for improved early childhood and elementary student performance in reading and educator preservice training and professional development to the State Board of Education's Long-Range Plan for Public Education.

The State Board of Education's long-range planning efforts underscore a commitment to reading as the skill that is fundamental to each student's achievement of excellence in learning.

## II. Application Information

### A. Request for Application

This Request for Application represents the efforts of the Texas Education Agency to assist Texas school districts and shared services arrangements of school districts in applying for funds under the *Academics 2000* initiative. This Request for Application describes the competitive process that the Texas Education Agency will use to award grants for education improvement in reading through planning and implementation, educator professional development, and preservice education.

### B. Eligible Applicants

School districts and shared services arrangements of school districts are eligible to apply for funding under this Request for Application. A local education agency must serve as the fiscal agent for a grant awarded under this Request for Application, except as provided below.

Districts or shared services arrangements of districts currently receiving Goals 2000 funds for activities on identified campuses will receive continuation funding in a separate application and should not complete this competitive application. However, districts or shared services arrangements of districts currently receiving funds may apply for funds through this competitive application to serve additional campuses, serve a different population of students, and/or implement programs that were not addressed in the currently funded application.

Application for continuation year funding of current grant recipients will be sent at a later date.

**Federal  
References:**  
Goals 2000  
§309(a)(1)(B)  
§309(a)(7)

At least one grant will be awarded to an urban school district or shared services arrangement and one grant to a rural school district or shared services arrangement of school districts. A regional education service center may serve as the fiscal agent for a rural school district or rural school district shared services arrangement. Regional education service centers are not eligible to apply except as fiscal agents of a rural shared services arrangement. A school district participating in this initiative but not serving as a fiscal agent should not complete an application. Applications will be completed by the fiscal agent.

**Special consideration in awarding grants will be given to school district shared services arrangements or to groups of campuses within a single district which plan and work together to achieve the primary objective of all fourth-grade students becoming fully proficient in reading.**

The *Academics 2000* initiative will give priority to school districts or shared services arrangements of school districts that collaborate with regional education service centers, teacher training institutions and programs, Centers for Professional Development and Technology, parent organizations, community institutions and organizations, businesses, other school districts and campuses including those representing special populations and special education involved with statewide grass-roots reform initiatives. These initiatives include but are not limited to mentor schools and schools that are receiving Investment Capital Funds under the Deregulation and Restructuring to Improve Student Achievement grant.

### C. Local Approval of Submitted Applications

Application for *Academics 2000* grants is competitive and voluntary. School district participation in this initiative, as a single applicant or member of a shared services arrangement, must be approved by the district superintendent and the president of the local board of trustees. **Approval by both the superintendent and president of the board of trustees must be included in this application and reflected in the district's local board of education meeting minutes. The application may not be funded without approval of both of these individuals.**

**In the event the superintendent of a participating district is unable to recommend the project to the district's board by the published due date, the Texas Education Agency must receive a letter no later than May 23, 1997 signed by the superintendent and the president of the local board of trustees, stating that approval has been obtained.**

### D. Project Funding

As stated in the Goals 2000: Educate America Act, the Goals 2000 initiative will extend to the year 2000, subject to Congressional appropriation. This opportunity for *Academics 2000* funds will be used to award reading grants to approximately 70 new recipients with an anticipated range between \$50,000 and \$150,000. The final number of grants and the final dollar amount of each grant will be negotiated and will depend on the quality of the application, activities to be carried out through the local initiative, and the size and characteristics of participating school districts and consortia members, where applicable.

### E. Use of Funds

There are two components for the use of local Goals 2000 funds:

- (1) **Component A (Required): Local Planning and School Improvement Initiatives, including Professional Development**
  - **Component A1 - Planning:**  
district and campus improvement **planning** activities; and
  - **Component A2 - School Improvement Initiatives, including Professional Development:**  
individual school improvement initiatives to implement the plan, including sustained and intensive high-quality professional development that provides educators with the skills and knowledge needed to ensure that all prekindergarten through fourth grade students perform at high standards in reading.
- (2) **Component B (Optional) - Preservice Education:**  
enhanced and improved early childhood and elementary teacher and administrator preservice education, including how to work effectively with parents and the community to improve student achievement. Preservice education includes all college-level educator preparatory courses that increase educator competencies.

<b>Federal References:</b>
Goals 2000 §309(a) Subgrants to Local Educational Agencies; Goals 2000 §309(b) Subgrants for Preservice Teacher Education and Professional Development Activities
<b>State Reference:</b>
TEC §11.252, District and Campus Planning Process

### **Limitation on Administrative Costs:**

Districts must limit administrative expenses, including indirect costs, in each fiscal year to five percent of the total amount received under this application for both components.

### **Components of Effective Research-Based Programs:**

**Applications that address components 4, 6, 7, 8, and 9 of the Appendix in each of the allowable components above (A1, A2, and B) will receive special consideration for funding.**

## **F. Description of Components**

### **COMPONENT A - Local Planning and School Improvement Initiatives, including Professional Development (Required):**

Section 11.252 of the Texas Education Code stipulates that local boards of trustees in all districts must adopt a report that details plans for district and campus improvement. This report is the foundation of the *Academics 2000* initiative.

Every school district applying for *Academics 2000* funds must evaluate and, if necessary, revise their district plans in light of the objective of all fourth grade students becoming fully proficient in reading. Every district applying for funds must also carry out individual school improvement initiatives to implement the plan. (See Component A2: School Improvement Initiatives on page 9 of this RFA.)

In year one of Goals 2000 funding, expenses for activities related to evaluating and revising district and campus plans in relation to the primary objective of all fourth grade students becoming fully proficient in reading must be limited to **25%** of the total amount received under this application for Component A (see Component A1: Planning Activities). **At least 75%** of the funds budgeted under Component A (see Component A2: School Improvement Initiatives) must be expended for individual school improvement initiatives to implement the plan on one or more elementary campuses, including professional development activities.

<b>Federal Reference:</b>
Goals 2000 §309(a)(2)(B)

### **Special Needs Campuses:**

If a district applying for funds under this component has one or more elementary campuses with a special need for assistance, as defined below by this initiative, then at least 50% of the 75% budgeted for individual school improvement initiatives including professional development (Component A2) must be directed to those campuses.

**For the *Academics 2000* initiative, special needs campuses are defined as:**

- (1) campuses with a percent of students enrolled in the free-and-reduced school lunch program that is higher than the state average of 46.9%;
- (2) campuses with a percent of enrolled limited-English proficient students higher than the state average of 12.8%; and/or
- (3) campuses having at least 50% or more students who did not pass the reading section of the Texas Assessment of Academics Skills (TAAS).

<b>Federal Reference:</b> Goals 2000 §309(a)(3)(A)
<b>State Reference:</b> TEC §11.253

**Component A1: Planning Activities**  
**(Not more than 25% of funds budgeted for Component A):**

All districts applying for funds under this initiative must convene a broad-based panel to evaluate and, if necessary, revise their existing district and campus plans in relation to the primary objective of all fourth grade students becoming fully proficient in reading. Districts are encouraged to use funds awarded under this initiative to support plans for district and school-based improvement in collaboration with regional education service centers, teacher training institutions and programs, Centers for Professional Development and Technology, parent organizations, community institutions and organizations, businesses, other school districts, and campuses from other school districts including those representing special populations involved with statewide grass-roots reform initiatives.

School districts participating in this initiative should plan on achieving the primary objective of improving early childhood and elementary student performance in reading and ensuring that Texas elementary students are fully proficient in reading by the 1999-2000 school year.

**The plan should not be submitted as part of this Request for Application. It will be developed by the panel as one of the activities funded under the *Academics 2000* initiative and submitted at a later date.**

**Composition of Planning Panel:**

The planning panel may be based on an existing district decision making committee and should include, but not be limited to parents, teachers, school administrators, business and community representatives and others as appropriate.

This panel may also include representatives of institutions participating in a collaboration project, as applicable, such as regional education service centers, teacher training programs and institutions, businesses, and community organizations. **Panel membership must be representative of the diversity of students and community with regard to race, language, ethnicity, gender, disability, and socioeconomic characteristics.**

**Panel Activities:**

For the purpose of this initiative only the panel will evaluate the existing campus/district plans and revise them as necessary to ensure that they include appropriate strategies for improving early childhood and elementary student achievement in reading and educator professional development and preservice education. The panel will recommend its plan to the local board of trustees for approval.

Through the evaluation of current district plans, districts electing to participate in the *Academics 2000* initiative must:

- (1) identify student and educator performance needs;
- (2) target specific campuses or groups of campuses for participation in the initiative;
- (3) implement academic and instructional strategies and services directed to improve student achievement in reading on the identified campuses;
- (4) implement districtwide academic and instructional strategies and services for improving student achievement in reading;

- (5) direct campus decision making committees to develop and implement academic and instructional strategies for improving early childhood and elementary education, as demonstrated by all fourth grade students becoming fully proficient in reading; and
- (6) develop strategies that integrate technology into district and campus instructional and academic activities.

#### **Plan Components:**

**State  
Reference:**  
TEC §11.253

**Federal  
Reference:**  
Goals 2000  
§309(a)(3)(B)

Plans developed by schools/districts participating in this initiative must include components specified in the Texas Education Code. In addition, the plans must address districtwide education improvement in reading, directed at involving all students in prekindergarten-fourth grade to meet the state content standards and student performance standards in reading and must include specific goals and benchmarks.

Strategies must be included that:

- (1) ensure that all students have a fair opportunity to learn;
- (2) improve teaching and learning;
- (3) improve governance and management;
- (4) strengthen parental and community involvement;
- (5) expand improvements throughout the district; and
- (6) focus on improving student achievement in reading.

In conjunction with the focus on improving student achievement in reading, plans must also:

- (1) promote flexibility of campuses in developing plans that address the particular needs of their school and community and are consistent with the local improvement plan;
- (2) describe a process of broad-based community participation in the development, implementation, and evaluation of the local improvement plan;
- (3) describe how the district will encourage and assist schools to develop and implement comprehensive school improvement plans;
- (4) describe how the district will implement specific programs aimed at ensuring improvements in school readiness and the ability of students to learn effectively at all grade levels by identifying the most pressing needs facing students and their families;
- (5) describe how the district will use the funds and describe the procedures used to make funds available to schools in the district; and
- (6) identify any State or Federal requirements that impede educational improvement.

The plan developed by a district participating in this initiative should include a five-year calendar for implementing strategies to improve early childhood and elementary student achievement in reading.

#### **Local Trustee Approval:**

The panel will recommend the plan to the local board of trustees for adoption. Action taken by the trustees on the recommended plan must be reflected in the board meeting minutes.

<b>State</b>
<b>Reference:</b>
TEC
§11.253 (d)
<b>Federal</b>
<b>Reference:</b>
Goals 2000
§309(a)(4)
§312(a)(3)
<b>Federal</b>
<b>Reference:</b>
Public Law
103-227
Goals 2000
§309(a)(4)
<b>Federal</b>
<b>Reference:</b>
Public Law
103-227
Goals 2000
§309(a)(5)

### **Submitting the Plan:**

**Goals 2000 legislation requires that districts complete the evaluation and, if necessary, revision of their plans within 12 months from the beginning date of the grant (by September 30, 1998).**

Therefore, by September 30, 1998, districts participating in this initiative must:

submit to the Texas Education Agency Project Administration in the Division of Curriculum and Professional Development, an existing or revised campus and district plan that addresses the objectives of this initiative and that includes the required plan components on page 7 of this RFA.

Included with the plan must be a description of any modifications to the plan made by the LEA and any comments from the local panel regarding such plan.

**September 30, 1998, is a critical deadline date for submitting the plan to the TEA. No extensions for first-year funding can be granted under Goals 2000 legislation. Schools/districts not complying with this requirement will not be eligible to receive payment for any activities conducted under this application.**

As required in the Goals 2000 legislation, the Texas Education Agency will review and approve the plan. Approval of existing or revised campus and district plans is required prior to consideration of continuation-year funding authorized by the State Board of Education.

**Reminder: No more than 25% of the funds requested for local improvement (Component A1) may be used for planning activities as described above.**

### **Monitoring of Progress Toward Plan:**

After the Texas Education Agency has approved the plan, the school/district must inform the planning panel of progress on the plan. The school/district shall monitor the implementation and effectiveness of the improvement plan in close consultation with teachers, related service personnel, principals, administrators, community members, and parents from schools receiving funds under this Request for Application. The school/district will also assure that implementation of the plan does not result in a significant increase in paperwork for teachers. The planning panel shall review the plan and based on the progress described in the preceding sentences, determine if revisions to the improvement plan should be recommended to the district. The panel shall periodically report such determination to the public.



## **Component A2: School Improvement Initiatives, including Professional Development**

The applicant must use at least 75% of funds requested for local improvement (Component A) to support individual school improvement initiatives including professional development on one or more elementary campuses to carry out the plan. These activities must support broad-based educational improvement at the prekindergarten through fourth grade level in reading, with an emphasis on students reading below grade level.

At least 50% of the 75% budgeted for individual school improvement initiatives must be directed to those schools identified as special needs campuses to be identified on Schedule #4B–Program Description Narrative.

Implementation of school improvement initiatives must include professional development necessary to plan, implement and evaluate such initiatives. Professional development must provide for the integration of appropriate instructional strategies and methodologies, including the use of instructional materials and classroom practices described in the application. Refer to the Appendix—components 4, 6, 7, 8, and 9—for a description of research-based components of effective beginning reading programs.

Professional Development must support sustained and intensive high quality educator development activities focused on ensuring that all early childhood and elementary educators have the skills and knowledge needed for all of their students to achieve high standards in reading. Professional development and training activities may also address Dyslexia, ADD/ADHD, and other related disorders.

### **Collaboration Requirement:**

<b>Federal Reference:</b> Goals 2000 §309(b)
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**To be eligible for funding, applicants must, at a minimum, collaborate with institutions of higher learning, nonprofit organizations, or any combination thereof in the design, development, and provision of all professional development (funded in Component A) and preservice activities. (See Component B below for a description of optional preservice activities that may be requested.) Such collaboration must be evidenced in the application with letters of support from the collaborating institutions. (See the SAS instructions for Schedule #4B–Program Description Narrative for the content of the letters.)**

Applicants are encouraged to also collaborate with Centers for Professional Development and Technology, other teacher training institutions and programs, regional education service centers, publishers of instructional materials, businesses, and other community organizations and non-profit institutions. Priority points will be given for applications that collaborate with such entities.

## **COMPONENT B - Preservice Education (Optional):**

In addition to evaluating and revising current school/district plans in relation to the primary objective of increasing student achievement in reading and implementing school improvement strategies, including professional development, school districts applying for *Academics 2000* funds may specify strategies and budget amounts for activities to:

improve and enhance early childhood and elementary preservice teacher and administrator education programs in reading, including how to work effectively with parents and the community to improve student achievement.

The *Academics 2000* initiative encourages schools/districts participating in the initiative to develop and implement improved models of ongoing education and certification opportunities for teachers, principals, and other educators. Preservice education includes all college-level educator preparatory courses that increase educator competencies, including initial certification or subsequent certification in reading. These preservice education development models should strengthen early childhood and elementary teacher and administrator competencies and provide educators access to the skills and knowledge needed to ensure that all early childhood and elementary students in Texas can achieve high standards of performance in reading.

### **G. Funding Requirements/Restrictions**

**Federal  
References:**  
Goals 2000  
§309(c)  
  
Goals 2000  
§309(a)(6)(A)  
  
Goals 2000  
§309(a)(6)(B)

**Activities funded with *Academics 2000* grants—including evaluating and implementing district and campus plans and developing strategies for improved professional development and preservice education—must be limited to promoting prekindergarten through fourth grade instructional and academic improvement in reading. Refer to the Appendix—components 4, 6, 7, 8, and 9—for a description of effective research-based components of beginning reading programs. Programs/strategies that address these components will be given special consideration for funding.**

The Texas Education Agency will award at least 50% of the grants under this initiative to school districts or shared services arrangements of school districts that serve a greater percentage of children eligible for the free-and-reduced school lunch program than the statewide average percentage. The statewide average percentage in Texas is 46.9%.

**Districts receiving *Academics 2000* funds may not reduce funding for education or for education reform on account of receiving any funds under this application. *Academics 2000* funds shall not be used to replace expenditures for existing programs and activities that are a responsibility of the school district. Districts receiving *Academics 2000* funds must maintain expenditures for activities assisted by this initiative at a level at least equal to expenditures for such activities in the prior year.**

In general, the budget schedules in this Request for Application must provide evidence that:

- (1) project costs are reasonable in relation to expected outcomes:
  - (a) the amount requested might realistically be expected to have an impact on the stated needs; and
  - (b) the expected outcomes are sufficient to justify the amounts requested.
- (2) all expenditures are pertinent to and appropriate for the objectives/activities stated.

<b>Federal Reference:</b> Goals 2000 §309(a)(6)(ii)
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#### **H. Continuation-Year Funding**

It is anticipated that grants awarded under this Request for Application will be eligible for continuation funding. Continuation-year funding for *Academics 2000* grants is contingent on continued funding by the federal government, authorization by the State Board of Education, state-level focus of the project in the remaining years, and the timely submission and approval of reports required by the Texas Education Agency.

Applicants awarded continuation-year funding will use *Academics 2000* funds to carry out their improvement plans and implement professional development and preservice education strategies. At least 85% of continuation-year funding must be budgeted for school-based improvement, including continued, sustained professional development necessary to carry out the improvement plan. Continuation grants may be funded at a level less than 100% of the first-year funding. The level of funding for continuation grants is at the discretion of the Commissioner of Education.

#### **I. Progress Reports**

**Districts receiving *Academics 2000* funds must submit their existing or revised plan by September 30, 1998, as outlined in Section II. F.**

Schools/districts must submit progress reports describing the steps they have taken to improve early childhood and elementary education to the Texas Education Agency, Project Administration in the Division of Curriculum and Professional Development, as outlined in Section III. J. These progress reports will form the basis for considering district applications for *Academics 2000* continuation funding authorized by the State Board of Education. Progress reports will also be used to determine the necessity for technical assistance or on-site monitoring.

Goals 2000 legislation requires that the planning panel convene to evaluate and revise the district plan and review and evaluate progress towards the objectives of the plan and periodically report on this progress to the public. Evidence of these activities must be maintained at the district level.

## J. Waivers

Districts and campuses participating in this initiative may request waivers from state laws and State Board of Education rule, except those prohibiting conduct that constitutes a criminal offense, as specified in the Texas Education Code.

**Federal  
Reference:**  
Goals 2000  
§311(a)

Texas has been selected as one of nine Ed-Flex states (Education Flexibility Partnership Demonstration Act; Section 311 (e) of the Goals 2000: Educate America Act); therefore, to request waivers from state statute and regulatory requirements, districts and campuses participating in the *Academics 2000* initiative may request waivers from federal statute and regulatory requirements that assist a district or campus in meeting its educational goals.

Waivers must be for the purpose of reducing or eliminating barriers to the reform of teaching and learning, assisting all children in reaching challenging academic standards, or helping foster local systemic reform efforts. LEAs and schools requesting waivers are held accountable for the performance of the students who are affected by such waivers.

Waivers may be requested from the Texas Commissioner of Education under the following federal laws:

- (1) Title I of the Elementary and Secondary Education Act of 1965, including Even Start and Migrant, as amended by P.L. 103-382;
- (2) Title VI (formerly Chapter 2) of the Elementary and Secondary Education Act of 1965, as amended by P.L. 103-382;
- (3) Title II of the Dwight D. Eisenhower Professional Development Act;
- (4) the Emergency Immigrant Education Act of 1984, as amended by P.L. 103-382;
- (5) The Safe and Drug-Free Schools and Communities Act of 1986, as amended by P.L. 103-382; and
- (6) the Carl D. Perkins Vocational and Applied Technology Education Act.

School districts or campuses seeking waivers from federal statute and regulatory requirements must:

- (1) indicate each Federal program affected and the statutory or regulatory requirement that will be waived;
- (2) describe the purposes and overall expected results of waiving each such requirement;
- (3) describe for each school year specific, measurable, educational goals for each local educational agency or school affected by the proposed waiver; and
- (4) explain why the waiver will assist the local educational agency or school in reaching such goals.

School districts or campuses may not request waivers relating to:

- (1) maintenance of effort;
- (2) comparability of services;
- (3) the equitable participation of students and professional staff in private schools;
- (4) parental participation and involvement;
- (5) the distribution of funds to local educational agencies; and
- (6) civil rights and health and safety requirements.

Districts considering a waiver should contact the Department of School/Community Support to request the form to be used. All waivers should be sent to the TEA Department of School/Community Support.

TEA will evaluate the waiver request, and if approved, the request will be effective for a period not to exceed three (3) years. The Texas Education Agency will annually monitor the implementation of the waiver and progress the district or campus has made in improving the achievement of identified students.

The Commissioner will terminate the waiver if it is determined that the performance of the district or campus in the area affected by the waiver has been inadequate to justify a continuation of the waiver.

#### **K. Private School Participation**

Section 310 of the Goals 2000: Educate America Act requires that local education agencies using *Academics 2000* funds **make information** related to the program areas in the Act **available** to private schools on request. Section 310 also requires that local education agencies provide for the **training of teachers and administrators** of private schools located in their districts.

**Prior to completing and submitting this application**, the applicant must consult with officials of private schools located within the boundaries of the applicant to ascertain if teachers and administrators desire to participate in professional development or preservice education activities. **Prior consultation may be in the form of a documented phone call, letter (preferably certified), or a meeting with private school officials.**

**More detailed information pertaining to private school participation is provided in the instructions to Schedule #5.**

### III. Conditions for Submission of Application and Other Requirements

In order to be considered for funding, the following conditions will apply to all applicants:

- A. A Notice of Grant Award, which will incorporate this RFA, the instructions for each schedule, and the approved application as negotiated by the Texas Education Agency and will constitute the binding agreement between the parties, will be issued for the applications that are approved.
- B. Applications that address only part of the requirements contained in this Request for Application will not be considered for funding.
- C. The Texas Education Agency reserves the right to reject any and all applications and to negotiate portions thereof.
- D. It should be clearly understood that the applicant will not necessarily receive the amount requested, if a lesser amount is determined to be appropriate.
- E. The applicant shall furnish such additional information that the Agency may reasonably require.
- F. The Texas Education Agency reserves the right to select the application containing the best offer considering the outcomes desired.
- G. Additions or replacements to the application will not be accepted after the closing date for receiving the application in the Document Control Center of the Texas Education Agency.
- H. The Texas Education Agency will not be liable for any costs incurred in the preparation and submittal of the application.
- I. The applicant must commence and perform project activities according to the time lines described in the task/activity plan. Failure to do so may result in reduction and reallocation of funds.
- J. The applicant will provide two written progress reports in narrative form during the project period in the format requested by the Agency. The first written progress report is a midyear report covering project activities through March 31, 1998. The midyear progress report is due to the Texas Education Agency by April 15, 1998, fifteen (15) days after the close of the first six months of the project. The second progress report is a final report covering project activities through September 30, 1998. This final report is due by November 16, 1998, forty-five (45) days after the close of the project. These reports will be used by the project administrator to determine if modifications or adjustments to the program are indicated. The schedule for the delivery of these progress reports is:

<u>Report</u>	<u>As of Date</u>	<u>Due Date</u>
Midyear	Mar. 31, 1998	Apr. 15, 1998
Final Report	Sept. 30, 1998	Nov. 16, 1998

- K. The applicant will provide quarterly financial reports on a properly completed and certified Report of Project Expenditures and Cash Requirements, SAS-004. Reports will be due to the Texas Education Agency as follows:

<u>Report</u>	<u>As of</u>	<u>Due Date</u>
1st Quarter	Dec. 31, 1997	Jan. 15, 1998
2nd Quarter	Mar. 31, 1998	Apr. 15, 1998
3rd Quarter	June 30, 1998	July 15, 1998
*Final Report	Sept. 30, 1998	Nov. 16, 1998

- \* Final payment is contingent upon receipt of the final document(s)/report(s), and the Report of Project Expenditures and Cash Requirements, SAS-004.

**Up to ninety percent (90%) of the total grant award will be paid to the contractor based upon applicant's submission of SAS-004 during the grant period. The remaining ten percent (10%) will be paid to the contractor upon the Agency's receipt of the letter or plan outlined on page 10 of the RFA and the final progress report.**

- L. The contractor shall provide two (2) copies of the final progress report in the format requested by the Agency (refer to Schedule #4C requirement for program evaluation) to the Texas Education Agency within forty-five (45) days after the end of the project.
- M. The applicant agrees to complete the scope of work described in the application at the contracted price.
- N. The Texas Education Agency will notify each applicant in writing of the selection or non-selection for funding. All copies of all applications, except for three (3) copies of the selected application(s), will be destroyed unless the applicant notifies the Texas Education Agency in writing within forty-five (45) days of the date on the selection/non-selection letter that the applications are to be returned to the applicant at the applicant's expense.

#### IV. Procedures for Submitting Applications

**Facsimile transmissions (FAX) of applications will not be accepted under any circumstances.**

##### A. Receipt of Applications

To be eligible to be considered for funding, applications **must be received** in the **Texas Education Agency's Document Control Center on or before 5:00 p.m.** (Central Standard Time) on the closing date as specified on the front cover of this Request for Application. **In establishing the time and date of receipt, the Commissioner of Education will rely solely on the time/date stamp of the Document Control Center.**

##### Method of Submittal

Regardless of the method of submitting the application--U.S. Postal Service, United Parcel Service, Federal Express, Purolator, or any other delivery service--**THE APPLICATION MUST BE RECEIVED IN THE AGENCY'S DOCUMENT CONTROL CENTER BY 5:00 P.M. ON OR BEFORE THE CLOSING DATE IN ORDER TO BE CONSIDERED FOR FUNDING.**

Note: The Texas Education Agency WILL NOT accept a U.S. Postal Service postmark and/or round validation stamp, mail receipt with the date of mailing stamped by the U.S. Postal Service, a dated shipping label, invoice or receipt from a commercial carrier, or any other documentation as proof of receipt of any application.

**Applicants are advised that the Texas Education Agency assumes no responsibility, due to any circumstances, for the receipt of an application after the deadline time and date established in the RFA.**

##### Document Control Center

**The Texas Education Agency's Document Control Center is open Monday through Friday, 8:00 a.m. to 5:00 p.m., excluding holidays. Applications will not be accepted nor considered for funding if received in the Document Control Center after 5:00 p.m. on the closing date.**

**The Document Control Center is located on the sixth floor of the William B. Travis Building, 1701 North Congress (at 17th Street and North Congress Avenue, two blocks north of the capitol) in Room 6-108, Austin, Texas 78701-1494. The mailing address is:**

Document Control Center, Room 6-108  
Texas Education Agency  
William B. Travis Building  
1701 North Congress Avenue  
Austin, Texas 78701-1494



## **B. Number of Copies of Application**

An original plus five (5) copies of the application shall be submitted for a total of six (6) sets. **At least three sets must contain an original signature** on Schedule #1 of the person authorized to bind the applicant in a contract.

## **C. Project Starting and Ending Dates**

The applicant shall plan for a project starting date of no earlier than **October 1, 1997** and an ending date of no later than **September 30, 1998** if selected as the contractor. All obligations of funds for activities and services conducted shall occur within these dates.

## **V. Assistance to Applicants**

### **A. Clarifying Information**

Any person wishing to obtain clarifying information about the application may contact:

Peggy Mays  
Division of Curriculum and Professional Development  
Texas Education Agency  
William B. Travis Building  
1701 N. Congress Avenue  
Austin, Texas 78701-1494  
(512) 463-9315

### **B. Requests for Additional Information**

In order to assure that no prospective applicant may obtain a competitive advantage because of acquisition of information unknown to other prospective applicants, any additional information that is different from or in addition to information provided in the Request for Application will be provided only in response to written inquiries. Copies of all such inquiries and the written answers thereto will be provided to each person or entity to whom a Request for Application has been sent.

Except as provided in paragraph A of this section, all inquiries for information must be made in writing to the Document Control Center, Room 6-108, Texas Education Agency, William B. Travis Building, 1701 North Congress Avenue, Austin, Texas 78701. The RFA number, located in the lower right corner of the front cover of this RFA, must be identified in the written request for information.

## **VI. Calendar of Events**

### **A. Other Key Dates**

Tuesday, February 18, 1997	Publication of Request for Application in the Texas Register
Friday, February 28, 1997	Request for Application available for distribution to districts
Tuesday, March 25, 1997	Notice of Intent to submit an application due to TEA
Tuesday, May 6, 1997	Applications from districts must be received by the Texas Education Agency Document Control Center by <b>5:00 p.m.</b> Central Standard Time
Monday, June 30, 1997	Projects selected and notified
Wednesday, October 1, 1997	Beginning date for project
Wednesday, April 15, 1998	Mid-year Progress Report due to TEA
Wednesday, September 30, 1998	Ending date for projects
Wednesday, September 30, 1998	Revised plans due to Texas Education Agency
Monday, November 16, 1998	Final Progress report and Final Expenditure Report due to TEA

**It should be noted that all of these dates except the final completion date may vary slightly as conditions require.**

### **B. Quarterly Expenditure Reports**

<u>Report</u>	<u>As of</u>	<u>Due Date</u>
1st Quarter	Dec. 31, 1997	Jan. 15, 1998
2nd Quarter	Mar. 31, 1998	Apr. 15, 1998
3rd Quarter	June 30, 1998	July 15, 1998
Final	Sept. 30, 1998	Nov. 16, 1998

## **VII. Selection Criteria**

Each application will be reviewed to determine the capability of the school district or shared services arrangement of school districts to implement a coherent program of improvement planning and implementation and professional training and development for student achievement in reading.

Applicants that have previously received grants from TEA to conduct special projects must have a positive record in successfully managing the program(s) in order to be considered for funding. All required components of this Request for Application (RFA) must be addressed. In addition to the above, the following criteria and the total number of points for each portion of the application that will be applied in selecting a project are:

<i>Categories</i>	<i>Possible Points</i>
Schedule #1 - Required, but no points awarded	
Budget (Schedules #3 - #3G)	10 points
Program Abstract (Schedule #4) - Required, no points awarded	
Needs Assessment (Schedule #4A) - limit to two pages	10 points
Program Description (Schedule #4B) - Literature Review - limit to three pages	15 points
Program Description (Schedule #4B) - Narrative: limit to 10 pages (maximum of five pages for each component)	30 points
Program Description (Schedule #4B) - Objectives/Activities	15 points
Evaluation Design (Schedule #4C) - limit to four pages	15 points
Private Schools (Schedule #5) - Required, but no points awarded	
Provisions and Assurances (Schedule #6A - #6E) - Required, but no points awarded	
Overall Rating	05 points
<b>TOTAL POINTS</b>	<b>100 POINTS*</b> (maximum 110 points with priority points)

**\* PRIORITY POINTS**

**Priority points as specified in Section II. B, will be awarded to applicants who collaborate with other campuses, school districts or who collaborate with other education, business and/or community institutions and/or have campus(es) of special need.**

**The points will be awarded as follows:**

Application submitted from shared services arrangement or from a group of campuses within a single school district	5 points
Collaboration with regional education service centers, teacher training institutions and programs, Centers for Professional Development and Technology, parent organizations, community institutions and organizations and businesses, as evidenced in attached letters of support	5 points

The following checklist is provided for the applicant's convenience.

**Checklist of key components:**

- \_\_\_ 1. Project costs are reasonable in relation to expected outcomes.
- \_\_\_ 2. Project costs do not **exceed** \$150,000.
- \_\_\_ 3. Under **Local Improvement**, no more than **25%** has been budgeted for planning (Column A1).
- \_\_\_ 4. Under **Local Improvement**, at least **75%** has been budgeted for individual school improvement initiatives, including professional development (Column A2).

Application includes:

- \_\_\_ 5. For planning (Component A1) and school improvement initiatives (Component A2), description of how programs/strategies will support improved student achievement in reading and how the program and will meet the research-based components of beginning reading programs described in the Appendix: components 4, 6, 7, 8, and 9.
- \_\_\_ 6. Identification and evidence of 'special needs' campuses targeted by the district or school district shared services arrangement.
- \_\_\_ 7. Description of the composition of the broad-based panel and the groups they represent.
- \_\_\_ 8. Description of the process by which the panel will evaluate, and if necessary, revise district and campus plans in relation to the primary objective.
- \_\_\_ 9. Description of the proposed public communication and outreach efforts.
- 10. If addressing preservice education under Component B (Column B):
  - \_\_\_ (a) description of the strategies and activities proposed to improve educator skills and knowledge,
  - \_\_\_ (b) description of how such strategies and activities will address identified district and campus needs,
  - \_\_\_ (c) identification of collaborative partners,
  - \_\_\_ (d) description of the activities and programs that the partners will bring to the effort to improve early childhood and elementary education in reading; and
  - \_\_\_ (e) provision of evidence, at a minimum, that collaboration is with an institution of higher learning, nonprofit organization, or any combination thereof.
- \_\_\_ 11. Letters of support, in an appendix, from collaborative partners.
- 12. A timeline that establishes:
  - \_\_\_ (a) calendar of activities to be performed by the broad-based planning panel, including the submittal of the revised plan;
  - \_\_\_ (b) objectives and activities for supporting individual school improvement initiatives to implement the plan; and
  - \_\_\_ (c) means of documenting and evaluating the delivery and completion of all services.

- \_\_\_ 13. Description of the means by which the effectiveness of activities proposed will be evaluated.
- \_\_\_ 14. Description of the criteria that will be used to evaluate the effectiveness of the work of the broad-based panel.
- \_\_\_ 15. Description of the criteria that will be used to judge the effectiveness of the activities in improving student and educator performance.
- \_\_\_ 16. Description of the data to be collected with regards to each of the objectives, instruments to be used and the means by which the instruments will be administered.
- \_\_\_ 17. Indication that by September 30, 1998, a plan developed by the panel addressing the primary objective of the initiative will be submitted to TEA.
- \_\_\_ 18. Indication that any evaluation requirements established by the Texas Education Agency would be adhered to. (This statement is on the Program Evaluation Design page.)

## **VIII. Selection of Applications for Funding Consideration**

Awards will be considered on the basis of total points. It is important that a diversity of students and districts be represented in the operation of these programs.

Applications will be rank ordered from highest to lowest score. Applications will be selected for funding according to a final score as determined by the Texas Education Agency.

Projects will be selected to:

1. establish programs in districts or shared services arrangements that serve a greater percentage of economically disadvantaged children (eligible for the free-and-reduced school lunch program) than the statewide average percentage. The statewide average percentage in Texas is 46.9%;
2. establish programs that are cost effective;
3. establish programs that are diverse with respect to size of districts (i.e., small, medium and large districts);
4. establish programs that are diverse with respect to geographic location in Texas (i.e., education service center region);
5. establish programs in districts who form shared services arrangements with other school districts or groups of campuses within a single district, including those representing special populations and special education;
6. establish programs in collaboration with regional education service centers, teacher training institutions and programs, Centers for Professional Development and Technology, parent organizations, community institutions and organizations and businesses;
7. establish programs in at least one rural and at least one urban school district;
8. establish programs that address effective research-based programs on beginning reading instruction (see specifically components 4, 6, 7, 8, and 9 in the Appendix).

## **IX. Review of Applications**

Review of applications will begin as soon as practical after receipt. The review panel will consist of educators from across that state of Texas, including parents, school board members, administrators, college and university professionals, regional service center professionals and business and community representatives. The applicants receiving the most favorable ratings during the first round of selection may be asked to send a representative to Austin, Texas at a time and place to be arranged for oral presentation of applications. Applications may be rated again following presentations.

The recommendations of the review panel will be assembled and presented to the Commissioner of Education or his designees who will, as authorized by the State Board, either:

1. approve the application in whole or in part;
2. disapprove the application; or
3. defer action on the application for such reasons as a requirement for further evaluation.

Each applicant will be notified in writing of action taken on the application submitted. In the case of the approved application, notification to the respondent will include the contractual conditions which the applicant must accept in accordance with federal and/or state law.

## **X. Use of the Standard Application System (SAS) for Application**

Applicants must use the Standard Application System (SAS) schedules contained in Part III of this RFA to apply for grant funds. Detailed instructions for completing the SAS schedules are provided in Part II of this RFA. These instructions should be studied carefully so that accurate and complete information will be submitted.

The applicant is not required to reproduce the instructions and submit them with the application. The complete RFA and the instructions for each schedule will be incorporated by reference into the grant award. The applicant should retain a copy of the RFA for this purpose in case of selection.

County District Number: The County District Number must be entered on EVERY PAGE of the application.

Project Number: The Project Number is assigned by the Texas Education Agency. Enter the assigned number in this space only when submitting an amendment to the project and on financial/programmatic reports required by this application.

Particular attention should be paid to the requirements contained in Schedules #6A - #6E. The signature on Schedule #1 of the authorized official indicates that the grantee has read and will comply with these requirements.

**PART II**

**INSTRUCTIONS FOR PREPARING THE  
STANDARD APPLICATION SYSTEM (SAS)**



1. As used in this application:
  - a. "Agency" means the Texas Education Agency;
  - b. "Applicant" means the entity eligible to apply for funds offered in this application. If the application is approved, "applicant" shall mean grantee/contractor;
  - c. "Application" means the package submitted by the applicant composed of those schedules indicated by an "X" in the New Application column of Schedule #1–General Information; (See Section 6.a. on page 34.)
  - d. "Application for amendment" means a change being requested by the applicant to the approved application; (See Section 6.b. on page 34.)
  - e. "DCC" means the Document Control Center of Agency;
  - f. "SAS" means the Standard Application System of which this application is a part.
2. When formulating the budget, remember that all costs must be reasonable and necessary for the operation of the program. Clear, concise, relevant descriptions of all budgeted items will help the agency in approving the application in a timely manner.
3. Place your county/district number on every page of this application or amendment.
4. A project number will be assigned by Agency on Schedule #1–General Information. Use this number on all amended applications and financial/programmatic reports required by this application.
5. Any page of this SAS may be reproduced if additional space/pages are needed.
6. **Staple each copy of the application in the top left corner. Do not bind the application or place in notebooks or folders. Do not use a cover or include a Table of Contents.** Any information, **beyond what is required in the RFA**, should be placed in the Appendix.
7. The applicant is NOT required to reproduce the instructions and submit them with the application. The complete RFA and instructions for each schedule will be incorporated by reference into the Notice of Grant Award (NOGA). The applicant should retain a copy of the RFA for this purpose in case of selection to receive a grant.
8. Instructions for completing the individual application schedules are provided on the following pages. These instructions should be studied carefully so that accurate and complete information will be submitted.
9. Particular attention should be paid to the requirements contained in Schedules #6A through #6E. **The signing of Schedule #1–General Information by applicant indicates acceptance of all requirements described on Schedule #6A through #6E as applicable.**
10. **All** pages of the application need to be numbered and the SAS number indicated on the lower right-hand corner of **each** page, including reformatted and/or repaginated pages. County-district numbers **must** be located in the upper right-hand corner of **all** pages in the application.

## **INSTRUCTIONS FOR SCHEDULE #1–GENERAL INFORMATION**

The *Academics 2000* initiative supports activities in these areas:

- (A) **Local Improvement** - district and campus planning and individual school improvement initiatives to implement the plan that improve early childhood and elementary achievement in reading and include professional development that supports sustained and intensive high-quality educator professional development activities focused on ensuring that all early childhood and elementary educators have the skills and knowledge needed for all of their students to achieve high standards in reading; and
- (B) **Preservice Education** - enhanced and improved early childhood and elementary teacher and administrator preservice education, including how to work effectively with parents and the community to improve student achievement. Preservice education includes all college-level educator preparatory courses that increase educator competencies.

Applications submitted by school districts or shared services arrangements of school districts must:

- (a) include the approval of the district superintendent and president of the local board of trustees; and
- (b) include assurances that the district plans will be evaluated and, if necessary, revised to achieve the primary objective of all Texas fourth grade students becoming fully proficient in reading.

### **ON SCHEDULE #1:**

Section Number:

1. Applicant Agency: Self-explanatory.
2. Applicant Contact Person: The applicant contact person should be the project director.
3. Purpose of Application: Self-explanatory.
4. Use of Standard Application System: Self-explanatory.
5. Program Authority: This is the program authority under which you are applying for funds. Applicants must check the boxes appropriate to the activities supported in this RFA in this section. The boxes checked in this section will correspond to the budget information developed in Schedule #3 and the program information developed on Schedule #4.

Note that the Box A, Local Improvement has been filled in. Every school district participating in this initiative as a fiscal agent or as a member of a school district shared services arrangement must evaluate and, if necessary, revise their district plans in relation to the *Academics 2000* primary objective of improving early childhood and elementary education. Every district must also support individual school improvement initiatives, including professional development. The remaining box, Preservice Education, is optional.

6. Index to this application:
- The New Application column identifies the schedules that must be returned as part of the application. An X has been placed in the New Application column to indicate each schedule that must be submitted as a part of the application. The applicant must place an X in this column by each additional schedule submitted to complete the application. Ensure that these schedules are attached to the application. Do not include those schedules which do not apply or for which a budget is not prepared. Examples: If the project does not include payroll costs, do not include Schedule #3B. If supplies and materials are not to be funded for this project, do not include Schedule #3D.
  - The Amended Application column identifies the schedules that must be returned as part of the amendment. Do not submit an amendment until the Notice of Grant Award (NOGA) is received by the Applicant. Submit Schedule #1–General Information with an original authorized signature in Section 7 with each amendment. The applicant must place an X in the Amended Application column next to the schedule(s) being submitted as a part of the amendment. Ensure that all schedules marked X are attached. Do not submit any support schedules which have no changes in them. Therefore, submit only support schedules having changed in some way from the original application or the latest approved amended application. Place the sequential number of the amendment on all pages. An amendment must be approved by Agency prior to any activities such as purchase orders issued, funds encumbered and/or expended, goods received, or services rendered which are affected by the amendment.
7. Assurance, Certification, and Incorporation: This section must be signed by the superintendent acting as a fiscal agent. Each copy submitted to the Agency must contain an original signature. Please sign with blue ink.

The signing of Schedule #1–General Information by applicant indicates acceptance of all requirements described on Schedules #6A through 6E as applicable.

**INSTRUCTIONS FOR SCHEDULE #2–CERTIFICATION FOR SHARED SERVICES  
ARRANGEMENTS (Formerly COOPERATIVE PROJECTS)**

The *Academics 2000* initiative will give special consideration to shared services arrangements (formerly Cooperative Projects) of school districts working together to achieve the primary objective of improving early childhood and elementary education, demonstrated by all fourth-grade students becoming fully proficient in reading.

Applications submitted by shared services arrangements of school districts must:

- (1) identify a fiscal agent; and
- (2) include approval of the district superintendent and president of the local board of trustees for each member district of a school district shared services arrangement.

In most cases a school district will act as the fiscal agent for the shared services arrangement. For rural shared services arrangements only, the Goals 2000 legislation allows a regional education service center to serve as the fiscal agent. Therefore, education service centers are not eligible to apply except as fiscal agent of a rural shared services arrangement.

1. Two or more school districts may enter into a shared services arrangement (SSA) for the performance and administration of a program in order to maximize use of funds and services to be provided. This arrangement may be made in cooperation with an independent school district. It may also be made in cooperation with an education service center which may serve as the fiscal agent for two or more rural school districts.
2. Districts that are members of a shared services arrangement project (with the same fiscal agent) will apply for funds through this SAS submitted by the member districts' fiscal agent. Schedule #1–General Information will be completed by the fiscal agent. Schedule #2–Certification for Shared Services Arrangements will be completed by the fiscal agent and the member districts of the shared services arrangement. The fiscal agent, named in a shared services arrangement agreement, will collect data from all participating districts and submit in a composite application to Agency. A shared services arrangement fiscal agent that has its own allocation/project will request funds in the same application as that one submitted for the shared services arrangement.
3. Complete the form as follows:
  - a. Line 01 - Must be completed and signed by the designated fiscal agent.
  - b. Lines 02-19 - Complete information should be provided, including the signature of the school district superintendent and the president of the board of trustees of each member district in the shared services arrangement project.
  - c. Line 20 - Enter the total amount requested for this shared services arrangement project (fiscal agent's requested funds plus the member district's requested funds).
4. All financial and personnel records required for the Texas Education Agency shall be maintained for the shared services arrangement by the fiscal agent in accordance with *The Financial Accountability System Resource Guide* (formerly *Bulletin 679*).

## INSTRUCTIONS FOR SCHEDULE #3–BUDGET SUMMARY

### PART A

**Do not duplicate costs across Columns A and B.**

1. There are three uses for local Goals 2000 funds:
  - (a) **Column A1 - Local Planning (Required)** - district and campus planning, and
  - (b) **Column A2 - School Improvement Initiatives, including Professional Development (Required)** - individual school improvement initiatives to implement the plan, including sustained and intensive high-quality professional development that provides educators with the skills and knowledge needed to ensure that all prekindergarten through fourth grade students perform at high standards in reading.  
  
Implementation of school improvement initiatives must include professional development necessary to plan, implement and evaluate such initiatives.
  - (c) **Column B - Preservice Education (Optional)** - enhanced and improved early childhood and elementary teacher and administrator preservice education, including how to work effectively with parents and the community to improve student achievement in reading. Preservice education includes all college-level educator preparatory courses that increase educator competencies.
2. Every school district applying for *Academics 2000* funds must evaluate and, if necessary, revise their district plans in terms of its effectiveness in prekindergarten through grade four education (Column A1). Applicants must also support individual school improvement initiatives in reading, including professional development (Column A2). Applicants are encouraged to develop an application that incorporates both activities: planning and implementing systemic improvement, including professional development; and preservice education.
3. Column A1 - The Goals 2000 legislation limits funds budgeted for evaluating and revising the district plans to no more than 25% of the total amount budgeted for local improvement (Column A).

Column A2 - At least 75% of the total amount budgeted for local improvement (Column A) must support improvement initiatives to implement the plan on one or more individual elementary campuses, including professional development necessary to carry out the plan. If a district has identified one or more elementary campuses with a special need for assistance, as defined by this initiative, then at least 50% of the amount budgeted for individual school improvement initiatives including professional development (Column A2) must be directed to those campuses to be identified on Schedule #4B. These amounts must be reported in Column A2 of the budget forms.

4. The Goals 2000 legislation limits Administrative Costs to no more than five percent of the total amount of the grant (Column C, line 10) awarded under this application. **Only indirect costs should be listed on line 09.** Indirect Costs cannot exceed the rate assigned to the district and must be included as part of five percent the (5%) Administrative Costs.
5. Report whole dollar amounts only. Omit decimals. Totals from all budget support schedules must appear on this schedule. Indicate the amendment number on amendments only.

6. An encumbrance, accounts payable, and an expenditure, as with all other project accounting terms, will be as defined in *The Financial Accountability System Resource Guide*. Budgeted expenditures will be shown by class/object code in this SAS. However, the applicant is required to maintain records on all expenditures by budget function, class/object code, and year of entitlement (appropriation), in accordance with the provisions of *The Financial Accountability System Resource Guide*. Note: To ensure compliance with required accounting procedures as specified in *The Financial Accountability System Resource Guide*, all applicants who are school districts or education service centers are strongly encouraged to consult with the applicant's business office regarding the assignment of budgeted items to the proper class/object codes prior to submitting the application. Advance coordination with the business office will expedite negotiation and processing of the application. Detail of Schedule #3–Budget Summary will be shown on support schedules #3B, #3C, #3D, #3E, #3F, #3G and/or #3H as appropriate. Do not enter zeros (.00) or cents (.37) in the budget figures. Use whole dollar amounts only (e.g. \$1,970).
7. Complete the form as follows for each component for which the applicant is requesting funding: Do not duplicate costs across columns (components). The applicant must determine which component the activity most appropriately fits under and identify costs accordingly.
  - a. Lines 01-07 - Enter on the line for the appropriate class/object code the total amount budgeted. The amounts budgeted on lines 01-07 must be the same as the amounts entered on the total line of each support schedule.
  - b. Line 08 - Enter the total direct costs of all entries on lines 01-07.
  - c. Line 09 - Compute indirect costs by deducting from line 08 the following costs: Tuition Services (622X), Food Costs (6499), Nonemployee Stipends (6413), Debt Service (65XX), Capital Outlay (66XX), and multiply the results by the Agency certified restricted rate. The indirect cost rate may not exceed the rate approved by the Texas Education Agency, or 5%, whichever is less. Drop the cents. Do not round up.
  - d. Line 10 - Enter the total costs (lines 08 + 09).
  - e. Line 11 - Enter the total amount of payments to be made to the shared services arrangement member districts. These costs must be included in lines 01-10, and must be reflected in the supporting budget schedules, as applicable.
8. All encumbrances and expenditure of funds approved shall occur on or after the effective date of this application (date application was received in the respective Agency division or the DCC, or the first day of the grant availability period, whichever is later.) An encumbrance, accounts payable, and an expenditure, as with all other project accounting terms, will be as defined in *The Financial Accountability System Resource Guide*.

9. **CONDITIONS FOR AMENDMENTS:** Applicants are permitted to rebudget within the approved direct cost budget to meet unanticipated requirements and to make limited changes to the approved budget. However, certain types of changes require the prior written approval of the Agency. Applicants shall obtain the prior written approval from the Agency whenever any of the following changes are anticipated:
- (a) any revision which would result in the need for additional funding;
  - (b) cumulative transfers among direct cost categories which exceed or are expected to exceed (at any time during the grant period) ten percent of the current total approved budget. Cumulative transfers are defined as the total amount of additions to all class/object codes and does not include deletions;
  - (c) any reduction of funds allotted for training costs (primarily travel and lodging for trainees, workshop/conference registration fees, tuition, books, and related fees);
  - (d) whenever a line item within a class/object code is added;
  - (e) any budget amendment to construction costs;
  - (f) any revision to the scope or objectives of the grant (regardless of whether there is an associated budget revision requiring prior approval);
  - (g) a request to extend the period of the grant;
  - (h) an increase in the quantity of capital outlay item(s) requested; and
  - (i) an increase or decrease in the number of positions approved on Support Schedule #3B– Payroll Costs.
10. **REPORTING REQUIREMENTS:** The applicant will provide quarterly financial reports on a properly completed and certified Report of Project Expenditures and Cash Requirements, SAS-004. Reports will be due to the Texas Education Agency as follows:

<u>Report</u>	<u>As of</u>	<u>Due Date</u>
<b>1st Quarter</b>	<b>Dec. 31, 1997</b>	<b>Jan. 15, 1998</b>
<b>2nd Quarter</b>	<b>Mar. 31, 1998</b>	<b>Apr. 15, 1998</b>
<b>3rd Quarter</b>	<b>June 30, 1998</b>	<b>July 15, 1998</b>
<b>* Final</b>	<b>Sept. 30, 1998</b>	<b>Nov. 16, 1998</b>

\*Final payment is contingent upon receipt of the final document(s)/report(s) and the Report of Project Expenditures and Cash Requirements, SAS-004.

## **GENERAL INSTRUCTIONS FOR SCHEDULE #3–BUDGET SUMMARY**

### **PART B–First Quarter Anticipated Expenditures**

1. Complete this schedule to request an initial payment to meet anticipated expenditures during the first quarter of the grant.
2. Enter the projected expenditures (not encumbrances) for the first quarter of the grant period. Include anticipated expenditures such as payroll costs, supplies/materials expected to be received, equipment expected to be received, payment for contracted services to be rendered during the first quarter, etc.
3. The Agency will use this information to determine the amount of the initial cash advance if allowable and if appropriate.



## **INSTRUCTIONS FOR SCHEDULE #3–BUDGET SUMMARY WORKSHEETS**

### **Part C–Description of Funds Used for Administration**

1. Federal Regulations limit the amount of Goals 2000 funds that may be used to administer the program, which includes indirect costs, to no more than five percent (5%) of such funds for any fiscal year. Program costs are not included in this limitation.

Program costs typically include those costs associated with the **daily** implementation of project activities and includes salaries of persons who perform work directly related to program implementation or who **directly** oversee project activities necessary to carry out the purposes of the program, i.e., school improvement initiatives, professional development, and preservice training.

2. Applicants must identify direct administrative costs or expenses, which typically includes costs associated with accounting and other fiscal activities, auditing, and overall program administration. It includes salaries and benefits for staff who supervise activities of program staff; insurance that protects the grantee; and indirect costs.
3. Applicant must identify the amount of federal funds requested to pay for direct administration of the program, including:
  - a. costs for personnel who supervise the activities of program staff or any direct costs for personnel who perform fiscal and reporting activities related to the grant;
  - b. contracted services associated with the administration of the program;
  - c. types of supplies and materials requested for administrative use and intended use;
  - d. the type of other operating costs requested for administrative purposes; and
  - e. the types of equipment requested for administrative use and intended use.
4. Indicate on page 3-4 the total and calculate the actual indirect cost rate, not to exceed five percent (5%) of the total amount. The indirect cost rate may not exceed the rate approved by the Texas Education Agency, or 5%, whichever is less. **The total of direct administrative costs plus indirect costs may not exceed 5%.**

## **INSTRUCTIONS FOR SUPPORT SCHEDULE #3A–PURPOSE OF AMENDMENT**

1. Do not submit Support Schedule #3A with the original application. Submit a Support Schedule #3A only when you are amending an application. Indicate the amendment number on amendments only. Each amendment must be sequentially numbered. Submit one Support Schedule #3A for each program area amended. Indicate which program area is being amended.
2. Do not submit an amendment until the Notice of Grant Award (NOGA) has been received by the applicant. An amendment must be approved by Agency prior to any activities such as purchase orders issued, funds encumbered and/or expended, goods received, or services rendered which are affected by the amendment. Amendments received in substantially approvable form for grants funded on a formula and/or discretionary basis in a consolidated application, (e.g. Accelerated Instruction, Vocational Education, Special Education) will become effective on the date received in the appropriate funding division. Amendments received in substantially approvable form for discretionary grants submitted to the DCC will become effective on the date received in the DCC of Agency. Amendments not received under one of the above situations will become effective on the date of approval (signature date) by Agency.
3. A Support Schedule #3A–Purpose Of Amendment must be submitted along with the affected supporting schedules and a completed Schedule #1–General Information form.

CONDITIONS FOR AMENDMENTS: Applicants are permitted to rebudget within the approved direct cost budget to meet unanticipated requirements and to make limited changes to the approved budget. However, certain types of changes require the prior written approval of Agency. **Applicants shall obtain the prior written approval from Agency whenever any of the following changes are anticipated:**

- (a) any revision which would result in the need for additional funding;
- (b) cumulative transfers among direct cost categories which exceed or are expected to exceed (at any time during the grant period) ten percent of the current total approved budget. Cumulative transfers are defined as the total amount of additions to all class/object codes and does not include deletions;
- (c) any reduction of funds allotted for training costs (primarily travel and lodging for trainees, workshop/conference registration fees, tuition, books, and related fees);
- (d) whenever a line item within a class/object code is added;
- (e) any budget amendment to construction costs;
- (f) any revision to the scope or objectives of the grant (regardless of whether there is an associated budget revision requiring prior approval);
- (g) a request to extend the period of the grant;
- (h) an increase in the quantity of capital outlay item(s) requested; and
- (i) an increase or decrease in the number of positions approved on Schedule #3B–Payroll Costs.

Sample Amendment: To transfer more than 10% of the approved budget between c/o 6200 and 6300, attach a Support Schedule #3C–Professional and Contracted Services and a Support Schedule #3D–Supplies and Materials to Schedule #3A–Purpose Of Amendment indicating the reason for the amendment. (In this example, check number 2.) All support schedules attached must include all items; those being amended and those not affected by the amendment. Attach all of the above schedules to a Schedule #1–General Information with an original authorized signature in Section 7.

4. Depending upon the nature of the amendment, it may be necessary to recompute the indirect cost to be shown on line 09 of Schedule #3–Budget Summary. Compute the new indirect cost by deducting from line 08 the following costs: Tuition Services (622X), Food Cost (6499), Nonemployee Stipends (6413), Debt Service (65XX), Capital Outlay (66XX), and multiply the result by Agency certified restricted rate. Drop the cents. Do not round up.

## **GENERAL INSTRUCTIONS FOR SUPPORT SCHEDULE #3B–PAYROLL COSTS**

**Do not duplicate costs across Columns A and B.**

1. **Items requested on this support schedule must be allowable expenditures under the authorizing program statutes, regulations, and rules.**
2. Report whole dollar amounts only. Omit decimals. Indicate the amendment number on amendments only.
3. Identify, under Description of Expense Items column, the type of position being requested. Example: Project Director, Project Coordinator, Teacher (Subject Area), Counselor, Extra Duty Pay for (purpose); Substitutes for (purpose), etc.

For each type of position, enter the number of positions, the estimated number of days employed, the estimated time to be charged to the grant, and the total costs. Grantees may charge the grant program only for the actual number of days worked and the actual percentage of time worked on the program based on time and effort documentation or a substitute system.

4. Ensure that the amount requested for each position includes all allowable fringe benefit costs; i.e., teacher retirement, unemployment insurance, etc. For a state funded program, the employing district may budget for teacher retirement of the state's contribution only on that portion of the employee's salary that exceeds the statutory salary minimum. See Texas Government Code Sections 825.404 Collection of State Contributions and 825.405 Contributions Based on Compensation Above Statutory Minimum for details concerning this provision. The full amount of the state's contribution for teacher retirement may be budgeted on a federal or private-funded application if provided for in the grant.
5. Indicate the total amount of extra duty pay on line 09 and briefly explain the purpose(s). Extra duty pay (formerly known as stipends) for school district employees to attend meetings/conferences/workshops on non-contract days (after hours, holidays and weekends) or to participate in extended day activities is allowable not to exceed local policy rates. Extra duty pay may not be paid during regular working hours of a contract day.  
  
Examples: (a) Extra duty pay for staff participating in Saturday or evening staff development activities.  
  
(b) Extra duty pay for staff to participate in evening parent involvement activities.
6. Indicate the amount of anticipated substitute pay on line 08 and briefly explain the purpose. Pay for substitute teachers is allowable only for public school teachers and is not to exceed local district policy for payment. Substitute pay is allowable to replace grant funded teachers in the classroom who are absent or to allow teachers to participate in professional development activities, planning, etc.
7. Ensure that line 10, Total Costs, is the same as the amount on line 01 of Schedule #3–Budget Summary. For amendments, complete this support schedule in its entirety showing those items amended and those not amended.

**GENERAL INSTRUCTIONS FOR SUPPORT SCHEDULE #3C–PROFESSIONAL  
AND CONTRACTED SERVICES**

**Do not duplicate costs across Columns A and B.**

1. **Items requested on this support schedule must be allowable expenditures under the authorizing program statutes, regulations, and rules.**
2. Use this support schedule to request professional services, including consultants; tuition services; regional educational service center services; contracted maintenance and repair services; utilities; and rentals/lease; etc.
3. For each line item requested, provide a brief description of the purpose and nature of the item. Examples: Consultant to conduct workshop on reading in the content areas. Consultant to evaluate school improvement initiatives.

The applicant must indicate the amount of the fee per day to be paid to each consultant and the number of days the consultant will provide services. Example: \_\_\_\_\_ fee per day x \_\_\_\_\_ days. Applicant must include **substantial justification** for any consultant paid a fee of more than \$750 per day (not including travel) from these grant funds.

**Do not** include travel costs or materials to be provided by consultant(s) in the fee. Identify travel for consultants and/or cost of materials to be provided by a consultant **on a separate line.**

4. Report whole dollar amounts only. Omit decimals. Indicate the amendment number on amendments only.
5. The applicant shall not use or pay any consultant in the conduct of this application if the services to be rendered by such consultant could have been rendered by applicant's employees.
6. List the amount of the fees, participant tuition, and fees related to tuition on line 09. Refer to the program regulations/guidelines for the appropriate definition for "participant" as the term may mean student, teacher, or both.
7. Rental information should include location, approximate square footage, and monthly rate.
8. Rental of equipment should detail rate and number of months.
9. Maintenance and repair of equipment must detail specific items.
10. Ensure that line 10, Total Costs, is the same as the amount on line 02 of Schedule #3–Budget Summary. For amendments, complete this support schedule in its entirety showing those items amended and those not amended.

**GENERAL INSTRUCTIONS FOR SUPPORT SCHEDULE #3D–SUPPLIES  
AND MATERIALS**

**Do not duplicate costs across Columns A and B.**

1. **Items requested on this support schedule must be allowable expenditures under the authorizing program statutes, regulations, and rules.**
2. Use this support schedule to request instructional supplies and materials; office supplies; supplies and materials for maintenance and/or operations; general supplies such as paper, audio-visual aides, computer software, etc.; testing materials; etc.
3. Report whole dollar amounts only. Omit decimals. Indicate the amendment number on amendments only.
4. For each line item requested, provide a brief description of the purpose and nature of the item. Itemize all necessary supplies and materials by general supply category. For example, general supplies for printing, office, etc., instructional supplies for computer lab, instructional materials for workshop, etc.
5. Applicant should remember to make provisions for paper and printing of the required reports.
6. Gifts or items that appear to be gifts are not allowable. **Promotional items, memorabilia, and souvenirs, such as T-shirts, caps, and tote bags, are not allowable.** Minimal cost certificates, plaques, ribbons, small trophies, or inexpensive instructionally-related items to be used in the classroom, such as pens/pencils, are acceptable awards for participation in program activities. Describe the nature of any awards for participation.
7. Describe on Schedule #4B–Program Description (Narrative or Objectives and Activities) how any equipment budgeted on this support schedule will be used to accomplish the objectives of the project.
8. Ensure that line 10, Total Costs, is the same as the amount on line 03 of Schedule #3–Budget Summary. For amendments, complete this support schedule in its entirety showing those items amended and those not amended.

**GENERAL INSTRUCTIONS FOR SUPPORT SCHEDULE #3E-OTHER  
OPERATING COSTS**

**Do not duplicate costs across Columns A and B.**

1. **Items requested on this schedule must be allowable expenditures under the existing authorizing program statutes, regulations, and rules.**
2. Use this support schedule to request travel and per diem for project staff; stipends for non-employees; insurance; conference registration fees; membership dues, etc.
3. For each line item requested, provide a brief description of the purpose and nature of the item. Examples: Travel for staff to conference. Registration fees to attend conferences/workshops, etc.
4. Report whole dollar amounts only. Omit decimals. Indicate the amendment number on amendments only.
5. List the amount for food costs such as snacks, refreshments, etc., and **the purpose of such costs on line 08**. Full meals are not allowable. Snacks and/or refreshments are not allowed unless such expenditures are necessary to accomplish the objectives of the program, are reasonable in cost, and are an integral part of the instructional program. Examples of allowable expenditures might include snacks for child care, extended day programs, nutrition education programs, and for parent involvement activities to encourage participation/attendance. **Refreshments or snacks for planning meetings, staff meetings or staff training are not allowable expenditures from these grant funds.**
6. Amounts authorized for maximum recovery for travel and per diem costs against this funding source is restricted to those amounts which are approved in the State of Texas Appropriation Bill in effect for the particular funding period. Any amount over this limit must come from other sources of funding. If local policy restricts travel, per diem, and other travel expenses to a rate less than state law, the applicant must budget and request reimbursement at the lesser rate.
  - a. Allowable Travel Expenses:
    1. Automobile mileage (.28 per mile )from headquarters (home or office) to place of official business (meeting/conference/workshop). This mileage cannot exceed the mileage allowed in the Official State Mileage Guide. If local district policy reimburses at a lower rate, the lower rate must be claimed.
    2. Any automobile mileage incurred for official business. This mileage may be within headquarters, to or from an airport, to or from a place of business or residence as long as the shortest possible route is claimed and is incurred for official business.
    3. Airfare at the lowest fare available. (Airfare must be documented with receipt.) If first class, a statement that only first class airfare was available must be attached to the required airfare receipt.
    4. Car rental fee (at destination) is not allowed unless other transportation such as taxi or shuttle is not available for performing official business unless it is documented that it is more cost effective to rent a car than it is to take alternate travel. (Rental car must be documented with receipt.)
    5. Airport parking.

6. Lodging is reimbursed at actual cost not to exceed \$55.00/day or local policy, whichever is less. If local school policy requires reimbursement at a lower rate, the lower rate must be used. (Lodging must be documented with receipt.) Meals are reimbursed at actual cost not to exceed \$25.00 per day, or local policy, whichever is less.
  7. Taxi fares for official business. Tips cannot be reimbursed.
  8. Itemized miscellaneous expense, i.e. business phone calls, printing, materials used in carrying out official business of the meeting/conference/workshop.
  9. Registration fees to attend workshops/conferences.
- b. Unallowable Travel Expenses:
1. First class airfare.
  2. Per diem (meals and lodging) for persons who live in the same city where the meeting/conference/workshop is held is not allowable. Automobile mileage is allowable.
  3. Tips of any kind.
  4. Alcoholic beverages.
  5. Entertainment/recreation.
  6. Any expense for other persons.
  7. Automobile mileage or taxi fares for purposes other than for official business.
  8. Personal Accident Insurance or Personal Effects coverage for rental cars.
  9. Rental car for personal use or for purposes not associated with the official business of the meeting/conference/workshop.
7. If a stipend is being requested for personnel not employed by the applicant, then list the amount of the stipend requested and the purpose of the stipend on line 09.
  8. Educational field trips are allowed if they are directly related to a teacher's lesson as part of classroom instruction and if they are necessary to meet the objectives of the program. Field trips for entertainment or recreational purposes are not allowable. Describe the purpose of any field trips requested.
  9. Ensure that line 10, Total Costs, is the same as the amount on line 04 of Schedule #3–Budget Summary. For amendments, complete this support schedule in its entirety showing those items amended and those not amended.



**GENERAL INSTRUCTIONS FOR SUPPORT SCHEDULE #3G–CAPITAL OUTLAY**  
**(EXCLUSIVE OF 6629)**

**Do not duplicate costs across Columns A and B.**

1. **Items requested on this support schedule must be allowable expenditures under the authorizing program statutes, regulations, and rules.**
2. Applicant must carefully evaluate the current use of equipment/furniture to determine the most cost-effective utilization. Funds may be used to purchase furniture/equipment only when necessary to accomplish the objectives of the project.
3. Report whole dollar amounts only. Omit decimals. Indicate the amendment number on amendments only.
4. List only equipment having a unit cost of \$5,000.00 or more on lines 01 through 08.
5. Capital outlay (furniture and equipment) means tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.
6. In the Description of Expense Items column, use generic function-related descriptors because of constraints concerning bidding and purchasing rules. Do not list brand names.
7. Enter on line 09 the sum of all fixed asset items with a unit cost of under \$5,000.00.
8. **A list of equipment/furniture requested on line 09 must be attached to Support Schedule #3G. In addition, describe on Schedule #4B–Program Description Narrative how the equipment budgeted on this support schedule will be used to accomplish the objectives of the project.**
9. The applicant may not purchase more than the quantity approved in the application on lines 01 through 08. If more than the quantity approved is to be purchased, then an amendment must be submitted and **approved prior** to purchasing any additional units.
10. Ensure that line 10, Total Costs, is the same as the amount on line 06 of Schedule #3–Budget Summary. For amendments, complete this support schedule in its entirety showing those items amended and those not amended.

## **GENERAL INSTRUCTIONS FOR SCHEDULE #4–PROGRAM ABSTRACT**

**Complete one Program Abstract per component for which the applicant is requesting funding.**

1. The applicant must provide a brief summary of the proposed project, including:
  - a. a summary statement of need;
  - b. a summary description of the program;
  - c. the major program objectives, activities, and services;
  - d. the number of special needs campuses identified to participate in the project and the number of students to be served. Attach a list identifying each special needs campus to be served by name and indicate the percentage of students on free-and-reduced school lunch program and/or the percentage of LEP students or if the campus has at least 50% of its students not passing the reading section of the Texas Assessment of Academics Skills (TAAS).
  - e. the evaluation strategy.
2. **This schedule must be limited to the space provided.**

## **INSTRUCTIONS FOR SCHEDULE #4A–PROGRAM NEEDS ASSESSMENT**

**Complete one program needs assessment per component for which the applicant is requesting funding.**

A needs assessment is required for districts seeking to participate in the *Academics 2000* initiative. At minimum, the needs assessment must address individual school improvement initiatives, including professional development in reading for prekindergarten through fourth grade (Local Improvement). In addition, districts are encouraged to develop programs based on an assessment of district and campus early childhood and elementary preservice education in reading.

The needs assessment is used to develop project goals, objectives, and actions that will:

**Improve early childhood and elementary student achievement and ensure that Texas elementary students are fully proficient in reading.**

The needs assessment connects the budget developed in Schedule #3 to the projects described in Schedule #4B.

Schedule #4A has two pages, corresponding to the project components that districts may develop under this initiative:

- one page is for assessing needs of the district and campus related to early childhood and elementary planning and implementation of individual school improvement initiatives including professional development in reading (Local Improvement); and
- one for assessing needs related to early childhood and elementary preservice preparation in reading (Preservice Education). Preservice education includes all college-level educator preparatory courses that increase educator competencies, including initial certification or subsequent certification in reading.

### **ON SCHEDULE #4A:**

1. **Applicants must provide an assessment of need for funding the activities in each of the project components requested in this RFA.** One page should be completed for each component requested. If the applicant will carry out activities to improve early childhood and elementary educator preservice, then the needs assessment should **describe how those activities will support improved student achievement in reading.**
2. The needs assessment must name each **special needs campus** targeted by the district under this initiative and provide evidence of special need status for each campus. Special consideration will be given under this initiative to school district shared services arrangements or groups of campuses within a single district planning and working together to achieve the primary objective of all fourth-grade students becoming fully proficient in reading.
3. Indicate if there are no special needs campuses in the district(s).
4. Identified needs will be verified at the Texas Education Agency with data from the Public Education Information Management (PEIMS) database and Academic Excellence Indicator System (AEIS) information.

**SCHEDULE #4A MUST BE LIMITED TO ONE PAGE PER COMPONENT.**

**INSTRUCTIONS FOR SCHEDULE #4B–PROGRAM DESCRIPTION**  
**LITERATURE REVIEW**

Applicants seeking funding under this initiative will develop a literature review that responds to the needs identified on Schedule #4A and provides a research and policy foundation for the project described on Schedule #4B. The literature review should cite the appropriate publication and provide a brief abstract of its applicability to early childhood and elementary education in reading.

**THE LITERATURE REVIEW SHOULD BE LIMITED TO THREE PAGES.**

## **INSTRUCTIONS FOR SCHEDULE #4B–PROGRAM DESCRIPTION NARRATIVE**

Schedule #4B is divided into three sections:

1. **Column A1 - Local Planning (Required)** - district and campus planning;
2. **Column A2 - School Improvement Initiatives, including Professional Development (Required)** - individual school improvement initiatives to implement the plan, including sustained and intensive high-quality professional development that provides educators with the skills and knowledge needed to ensure that all prekindergarten through fourth grade students perform at high standards in reading.

Implementation of school improvement initiatives must include professional development necessary to plan, implement and evaluate such initiatives; and

3. **Column B - Preservice Education (Optional)** - enhanced and improved early childhood and elementary teacher and administrator preservice education, including how to work effectively with parents and the community to improve student achievement in reading. Preservice education includes all college-level educator preparatory courses that increase educator competencies.

### **ON SCHEDULE #4B:**

Complete one Schedule #4B for each component for which the applicant is requesting funding. Organize the information according to the following:

1. This schedule must provide a narrative description of each proposed component. The applicant will clearly delineate, as completely and succinctly as possible, the program design and details for carrying out the requirements of the grant. Applicants must provide a narrative description of the steps that will be taken to plan and implement individual school improvement initiatives to achieve the primary objective of early childhood and elementary school improvement in reading addressing all of the required information in this Request for Application.

### **Component A1 - Local Planning:**

All school districts participating in the *Academics 2000* initiative as fiscal agents or members of school district shared services arrangements are required to convene a broad-based panel to evaluate and, if necessary, revise district and campus plans in relation to improving early childhood and elementary student achievement in reading.

Plans developed under this initiative are requested to coordinate district and campus curriculum, instruction, assessment, personnel, community, parent, and family involvement initiatives to address the needs for improved early childhood and elementary education in reading.

2. In the planning section:
  - (a) The applicant must describe the composition of the broad-based panel and the groups they represent.
  - (b) Applicants must describe the process by which the panel will evaluate and, if necessary, revise district and campus plans in relation to the objective of improved early childhood and elementary student achievement in reading.
  - (c) Applicants must describe proposed public communication and outreach efforts.

- (d) Applicants are not to submit the plan with this application. Applicants must submit the plan developed by the panel to the Texas Education Agency for approval by **September 30, 1998**. The plan must be approved by the local board of trustees prior to submission to the Texas Education Agency.
- (e) Applicants must describe the process the planning panel will use to monitor progress toward the plan as described on page 8 of this RFA.

**Component A2 - School Improvement Initiatives, including Professional Development:**

- 3. Applicants must describe the programs, services and activities to be provided for individual school improvement initiatives including professional development on one or more campuses. Such programs, services and activities must be related to providing all students in Prekindergarten-fourth grade in the selected school(s) the opportunity to meet State content standards and State student performance standards in carrying out the plan for improvement in reading.
- 4. The applicant must indicate in the application if and how the proposed programs/strategies address specifically components 4, 6, 7, 8, and 9 in the Appendix.

**Component B - Preservice Education:**

The *Academics 2000* initiative encourages school districts to coordinate strategies to improve early childhood and elementary preservice education with plans to improve early childhood and elementary student achievement in reading.

- 5. Applicants requesting funding for this component must describe the strategies and activities proposed to improve educator skills and knowledge and how such strategies and activities will address identified district and campus needs. Preservice activities must include strategies for how to work effectively with parents and the community to improve student achievement.
- 6. Applicants must also describe how these strategies will be coordinated through the improved district planning process.

**Collaboration Requirement:**

To be eligible for funding, applicants must, at a minimum, collaborate with institutions of higher learning, nonprofit organizations, or any combination thereof.

Priority in awarding grants will be given to school districts or shared services arrangements of school districts that also collaborate with regional education service centers, teacher training institutions and programs, Centers for Professional Development and Technology, parent organizations, community institutions and organizations, businesses, other school districts and campuses; including those representing special populations and special education, involved with statewide grass-roots reform initiatives. These initiatives include but are not limited to mentor schools and schools that are receiving Investment Capital Funds under the Deregulation and Restructuring to Improve Student Achievement grant.

- 7. Applicants must identify the collaborative partners and describe the activities and programs that the partners will bring to the effort to improve early childhood and elementary education in reading.
- 8. At a minimum, applicants must attach letters of support from the institutions of higher learning and/or nonprofit organization(s) with which the applicant is collaborating. The letters should include the name and title of contact persons for the collaborating institution and **must describe the extent and depth of the actual contributions to the collaborative effort.** The letters will be considered an appendix to the application. Letters indicating collaboration with other entities should also be attached.

9. Special consideration in awarding grants will also be given to shared services arrangements of school districts or to groups of campuses within a single district which plan and work together to achieve the primary objective of this RFA.

If applicable, the applicant must identify the districts or other campuses participating in this collaborative effort and must provide a summary of the rationale for including these districts or campuses in the project.

**Use of Equipment:**

10. Describe how **any equipment** requested on Schedules #3D or #3G will be used to accomplish the objectives of the project.

**DESCRIPTION FOR SCHEDULE #4B–PROGRAM DESCRIPTION NARRATIVE IS LIMITED TO NO MORE THAN FIVE PAGES PER COMPONENT (i.e., 10 pages maximum).**

**LETTERS OF SUPPORT FROM COLLABORATIVE PARTNERS MUST BE INCLUDED AS AN APPENDIX TO THE APPLICATION.**

**INSTRUCTIONS FOR SCHEDULE #4B–PROGRAM DESCRIPTION**  
**OBJECTIVES AND ACTIVITIES**

**Complete one Schedule #4B for each component for which the applicant is requesting funding.**

Districts applying for funds under this RFA will plan and develop programs that ensure that all Texas fourth graders become proficient in reading by the 1999-2000 school year. Projects funded under this RFA will be eligible for continuation funding, subject to appropriation by the federal government and authorization by the State Board of Education and the timely submission and approval of plans and reports required by this initiative.

**ON SCHEDULE #4B:**

**Component A - Local Improvement**

**A1 - Planning -**

1. Develop a timeline that establishes a calendar of activities to be performed by the planning panel. The timeline must include the submittal of the revised plan to TEA by September 30, 1998. The timeline should also include activities for public communication and outreach efforts.

**A2 - School Improvement Initiatives, including professional development -**

2. Develop timelines that establish objectives and activities for supporting individual school improvement initiatives in reading to implement the plan, including the provision of sustained, intensive professional development activities.
3. Indicate in the second column (Level of Implementation) whether the objectives and activities will be accomplished at the district level or campus level.
4. Indicate the anticipated starting and ending dates for each major activity.
5. Indicate the means of documenting and evaluating the delivery and completion of all services.

**Component B - Preservice Education**

6. If applicable, develop timelines that establish objectives and activities appropriate to preservice education.
7. Time lines must be logical, tied to identified needs, and appropriate to complete all activities within the beginning and ending dates of the project.

**APPLICANTS MAY USE AS MANY PAGES AS NECESSARY TO LIST THE OBJECTIVES AND ACTIVITIES OF THE PROJECT.**



## **INSTRUCTIONS FOR SCHEDULE #4C–PROGRAM EVALUATION DESIGN**

1. The overall purpose of the evaluation is to assess the ability of planning and implementing school improvement initiatives, professional development, and preservice education activities developed under this initiative to accomplish the primary objective of ensuring that all fourth grade students become proficient in reading. Each application must provide a description of the means by which the effectiveness of activities proposed for:
  - **Column A1, Local Planning** - district and campus planning, and
  - **Column A2, School Improvement Initiatives, including Professional Development** - individual school improvement initiatives to implement the plan, including sustained and intensive high-quality professional development that provides educators with the skills and knowledge needed to ensure that all prekindergarten through fourth grade students perform at high standards in reading; and
  - **Column B, Preservice Education** - enhanced and improved early childhood and elementary teacher and administrator preservice education in reading will be evaluated.

Evaluations for each of the selected districts will be evaluated according to guidelines developed by the Texas Education Agency Division of Curriculum and Professional Development in cooperation with the Division of Policy Planning and Information Management. **In order to be considered for funding, applicants must agree to comply with any evaluation requirements that may be established by the Texas Education Agency, as agreed on by the project participants and as described below.**

In general, the major evaluation questions will be:

- (a) To what extent were the activities of the project implemented as planned?
- (b) How effective were the activities of the project in achieving the aims of the project?
- (c) What is the impact of the activities of the project on the participants?

The evaluation design will incorporate both process and product evaluations.

2. In addition, the applicant must describe the following on this schedule:
  - a. Criteria. Describe the criteria that will be used to evaluate the effectiveness of the work of the broad-based planning panel and to judge the extent to which individual campus school improvement initiatives, educator professional development, and preservice education improves student and educator performance. District and campus performance objectives as measured by the state accountability system will be included in, but not form the sole basis of, these criteria.
  - b. Design. As applicable, describe the evaluation design to be used to judge the effectiveness of the activities in providing individual school improvement initiatives and in improving educator professional development and preservice education. The design should indicate sources and collection dates for data.
  - c. Procedures. Describe the data to be collected to evaluate planning and implementation of school improvement initiatives in reading, professional development and preservice education activities, instruments and methods to be used, and the means by which the instruments will be administered.

**SCHEDULE #4C–PROGRAM EVALUATION IS LIMITED TO TWO PAGES PER COMPONENT.**

## **GENERAL INSTRUCTIONS FOR SCHEDULE #5–PRIVATE SCHOOLS**

**DO NOT MARK THIS SCHEDULE N/A OR NOT APPLICABLE.**

**If no private schools are located within the boundaries of the applicant, check the box on the schedule to indicate such. Skip the remainder of the instructions for Schedule #5.**

### **PART 1: Participants**

Section 310 of the Goals 2000: Educate America Act requires that local education agencies using *Academics 2000* funds **make information** related to the program areas in the Act **available** to private schools on request. Section 310 also requires that local education agencies provide **teachers and administrators** of private schools located in their districts the opportunity to participate in professional development activities. For the purposes of this requirement, private schools include institutions for neglected and delinquent children. **This schedule cannot be marked N/A or Not Applicable.**

#### **A. Students**

- Enter the total number of private school students to be impacted through teacher training. (Include students enrolled at facilities for the neglected or delinquent who do not attend public school.)

#### **B. Teachers**

- Enter the total number of private school teachers participating in training. (Include teachers at facilities for the neglected or delinquent.)

### **PART 2: Consultation and Services**

1. The applicant must consult annually with officials of private schools located within the boundaries of the applicant to ascertain if teachers and administrators desire to participate in professional development or preservice education activities. **Consultation may be in the form of a documented phone call, letter (preferably certified), or a meeting with private school officials.** Check the box(es) indicating the manner of prior and continuous consultation.

**Answer number 2 below only if participation is indicated.**

2. Provide a general description for the basis (criteria) used by the participating private schools to select teachers for participation in training. Do not provide the information by individual campus. **Do not leave this section blank** if any schools choose to participate. [34 CFR 76.656(d)]

**The LEA must maintain documentation which consists of:**

- a. A list of private schools and facilities for the neglected and delinquent, annually contacted to determine if private school officials desire that their teachers participate, and an indication of which schools will participate and which schools decline services.
- b. For participating private schools, including facilities for the neglected or delinquent, the number of students impacted through teacher training in each school, and a description of the training to be provided to the teachers at each school.

## **GENERAL INSTRUCTIONS FOR SCHEDULES #6A THROUGH #6E**

1. Applicant should carefully review all provisions and assurances included in Schedules #6A through #6E as appropriate. The applicant's signature on Schedule #1–General Information indicates that the applicant has read and will comply with all of the requirements on these schedules.
2. Schedules #6A through #6E must be attached to each copy of the application. An original signature of the authorized official on Schedule #1 indicates that the administrator has read and will comply with the terms outlined on these schedules. Applications are not eligible to be funded until each copy contains Schedules #6A through #6E.
3. **Schedule #6A** is the **Provisions and Assurances** which are applicable to all programs.
4. **Schedule #6B** is the **Debarment and Suspension Certification** and is applicable to all federally-funded programs.
5. **Schedule #6C–Lobbying Certification and Schedule #6D–Disclosure of Lobbying Activities** are required for all federally-funded programs in which the total grant award may exceed \$100,000. Complete Schedule #6D only if the applicant is disclosing lobbying activities. Mark Schedule #6D N/A (Not Applicable) if there are no lobbying activities to disclose.
6. **Schedule #6E** is **Special Provisions** which are applicable to this program.

## **GENERAL INSTRUCTIONS FOR SCHEDULE #6B-DEBARMENT AND SUSPENSION CERTIFICATION**

### **Definitions:**

**Lower Tier Participant** - Any organization or person receiving a grant or contract. This also includes subsequent subgrants and subcontracts.

**Covered Transaction** - The act of applying for federal funds or submitting a contract for federal funds.

**Lower Tier Transaction** - The making of a (1) subgrant to another entity or person or (2) procurement contract by a Lower Tier Participant to some other entity or person for goods or services, regardless of type, expected to equal or exceed a cumulative value of \$25,000.

**Principals** - An administration head, key project/grant management person, officer, director, within the Lower Tier Participant's organization or within a suborganization or subcontractor. (i.e., superintendents and the key person in the school district who will exert control or management influence over this project. At a university, it would be the president and principal investigator.)

## **INSTRUCTIONS FOR CERTIFICATION**

1. By signing and submitting this application, the prospective lower tier participant is stating that it is neither debarred nor suspended.
2. This certification is a material representation of fact upon which reliance was placed when this certification was signed. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment from federal funds participation.
3. The prospective lower tier participant shall provide immediate written notice to the organization to which this application is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "contract," and "voluntarily excluded," as used in this certification, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the organization to which this application is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this application that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this application that it will include the two-paragraph "CERTIFYING STATEMENT" without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntary excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

<p>The signing of Schedule #1–General Information by applicant indicates acceptance of all requirements described on this schedule.</p>
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## **GENERAL INSTRUCTIONS FOR SCHEDULE #6C–LOBBYING CERTIFICATION**

1. This is a Congress of the United States and the U. S. Department of Education requirement. The applicant must submit this schedule to the Agency for a federal funded application(s) with an approved amount in excess of \$100,000. The Agency will be unable to pay for any obligations established by the applicant unless this schedule is submitted.
2. In addition, if the applicant makes a subgrant or subcontract in excess of \$100,000 to another organization of any type, then the applicant shall require this form to be filed with and retained by the applicant. According to federal law, failure to obtain the certification subjects the applicant to civil penalties.
3. This certification states that the applicant is prohibited from using federal funds for influencing or attempting to influence any member of Congress or its employees or any federal agency employee concerning the making or awarding of a federal grant.
4. This certification also states that if the applicant pays or has paid any funds other than federal to any one person or organization for influencing or attempting to influence any member of Congress or its employees, or any federal agency employee concerning the making or awarding of a federal grant, that the applicant will disclose to whom payments were made, how much money was involved and the type of work involved. Applicants must use Schedule #6D–Disclosure of Lobbying Activities for complying with this disclosure requirement. The applicant shall require this form to be filed with the applicant on any subgrants or subcontracts it makes in excess of \$100,000 if funds have been spent as stipulated in this paragraph. The applicant will then forward a legible copy of Schedule #6D–Disclosure of Lobbying Activities to the Texas Education Agency.
5. Additionally, this certification requires the applicant to incorporate the language of this certification into any award or contract documents for awarding subgrants or subcontracts that exceed \$100,000 and that subgrantees and subapplicants shall certify and disclose accordingly.

<p>The signing of Schedule #1–General Information by applicant indicates acceptance of all requirements described on this schedule.</p>
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**GENERAL INSTRUCTIONS FOR SCHEDULE #6D-DISCLOSURE OF  
LOBBYING ACTIVITIES**

The filing of this form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. **Do not submit this form if there are no lobbying activities to be disclosed.**

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

Each organization shall file a disclosure form at the end of each calendar quarter in which there occurs any event that requires disclosure or that materially affects the accuracy of the information contained in any disclosure form previously filed by such organization. An event that materially affects the accuracy of the information reported includes:

- (a) A cumulative increase of \$25,000 or more in the amount paid or expected to be paid for influencing or attempting to influence a covered Federal action; or
  - (b) A change in the organization(s) or individual(s) influencing or attempting to influence a covered Federal action; or
  - (c) A change in the officer(s), employee(s), or Member(s) contacted to influence or attempt to influence a covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
  5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
  6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
  7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, shared services arrangements agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award by the Federal agency, enter the Federal amount of the award for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.



## **APPENDIX**

## **Foreword**

In January 1996, Governor George W. Bush announced his reading initiative for the state of Texas. The Governor's goal is for all students to read on grade level by the end of Grade 3 and continue to read on grade level throughout their schooling. Reading is central to a child's experiences in school. How well children learn to read sets the foundation for future success. The Texas Education Agency, in collaboration with the Governor's office, is in the process of assisting school districts and teachers with the information and tools needed to ensure that all Texas boys and girls are successful readers.

We recognize that our schools are faced with a variety of challenges when it comes to teaching reading. Although there are many children who come to school ready to read, there is an ever growing population of children coming to our schools who have barely even seen a book, much less had the thousands of hours of lap reading, vocabulary building, and positive experiences with letters and sounds that are so essential to learning to read.

The scientific research of the past decade illuminates the way children learn to read and how we can enhance that process. Texas must provide a balanced and comprehensive reading program in our schools for every child - each and every child. The purpose of this document is to provide teachers and administrators with useful information to consider when evaluating reading programs or when structuring the reading program on their campus. Local control is a fundamental tenet of our educational system in Texas. This document is not meant to prescribe any particular methodology or curriculum; rather, it is meant as a guide.

It is incumbent upon us as educators to be open to what works best for our children regardless of time, methodology or other factors. Many schools have in place successful reading and writing programs that embrace the features outlined in this document and I applaud those schools. I ask you to examine your efforts and make any necessary changes to meet the challenge of having all children readers.

Mike Moses  
Commissioner of Education

## Introduction

Reading is central to learning - in school, in the workplace, and in everyday life. For many children, learning to read and write during early school experiences is a pleasurable - and even a thrilling experience, for themselves, for their parents, and for their teachers. But for children who do not make good progress in these early grades learning to read is difficult and is associated with both present and future failure. Children who do not learn to read well in the first and second grades are likely to struggle with reading throughout their lives.

Nationwide, estimates of how many children in American schools that do not read well vary. In Texas the information is clear. The 1996 Texas Assessment of Academic Skills (TAAS) results reveal that at least 20 percent of Texas students do not read well enough to be described as proficient readers.

Governor Bush has described these children as an at-risk population in the making. His challenge to the schools of Texas is clear. All third grade children must read at grade level or better, and maintain grade level or better achievement in reading until they finish school.

Can this challenge be met? Fortunately, during the past decade compelling research reveals a clearer and deeper understanding of the abilities that lead to success with reading and writing, and about how children learn to read. This knowledge is useful to parents, teachers, and ultimately to the children. This knowledge has direct implications for preschool, kindergarten and the primary grades, programs of reading instruction, and most particularly for those children who have trouble learning to read.

What are the components of a research-based beginning reading program? This document presents descriptions of these components. Some will be familiar while others may be new. It is important to realize that the presence of only a few components in a program will not assure that every child will become a reader and writer. Rather, it is the orchestration of these components by teachers, administrators, and curriculum developers that will enable us to meet the Governor's challenge.

The following document is meant to guide administrators and teachers as they strive to meet the Governor's challenge. The first section describes twelve essential components of a beginning reading program. The second section describes classroom and campus factors that support effective reading instruction.

The twelve components are arranged in an order that could imply a sequence of instruction. However, these components should not be considered as rigid, sequential categories. Rather, they are interrelated. Teachers work with their students on several components at a time, and children are helped to see the importance of these relationships. For example, when teachers read library books aloud in their classrooms, students make connections between reading and writing, expand their own spoken and written vocabularies and observe proficient and fluent reading.

Children develop as readers throughout the early years of schooling. Because children bring such a variety of knowledge and experience to their classrooms grade level differentiations or expectations are not given with each component. Research indicates that good readers learn these elements of reading, perhaps at home, perhaps on their own, or as a consequence of instruction. A teacher's task is to find out what students do understand, what they need to learn, and what needs to be provided in the classroom. Research also shows that for children whose first language is not English, instruction in the first language may be needed as a foundation for learning to read and write in English.

This document is based on a number of research reports and studies. Those who wish to examine this research base more fully may refer to *Beginning Reading Instruction: A Review of Research* which will be available from the Texas Education Agency through the Publications Office.

I want to thank Jean Osborn from the Center for the Study of Reading at the University of Illinois, Sharon O'Neal and Cathy Davis from the Texas Education Agency, and Nancy Roser from The University of Texas at Austin. In addition, I gratefully acknowledge the advice of representatives from the Education Service Centers. Finally, special thanks goes to Christine Joosten who cheerfully worked to produce this document.

Robin Gilchrist  
Assistant Commissioner  
Texas Education Agency

## **Twelve Essential Components of Research-based Programs for Beginning Reading Instruction**

Research-based programs for beginning reading instruction in kindergarten, first grade, and second grade provide balanced, well-organized instructional plans and practice opportunities that permit all children to make sense of reading. As they learn to read, children learn how spoken and written language relate to each other. For this to happen, the components of the reading program, including the instructional materials selected for classroom use, must relate to one another and be orchestrated into sequences of instruction that engage all children and meet their needs. The following are twelve of the essential components of research-based programs.

### **1. Children have opportunities to expand their use and appreciation of oral language**

Children's comprehension of written language depends in large part upon their effective use and understanding of oral language. Language experiences are a central component of good reading instruction. Children learn a great deal about the world, about themselves, and about each other from spoken language. Kindergarten and first-grade language instruction that focuses on listening, speaking, and understanding includes the following:

- Discussions that focus on a variety of topics, including problem solving
- Activities that help children understand the world—in and out of the classroom
- Songs, chants, and poems that are fun to sing and say
- Concept development and vocabulary building lessons
- Games and other activities that involve talking, listening, and in particular following directions

### **2. Children have opportunities to expand their use and appreciation of printed language**

Children's appreciation and understanding of the purposes and functions of written language are essential to their motivation for learning to read. Children must become aware that printed language is all around them—on signs, billboards, and labels, and in books, magazines, and newspapers—and that print serves many different purposes. Reading and writing instruction that focuses on the use and appreciation of written language includes the following:

- Activities that help children to understand that print represents language
- Activities that highlight the meanings, uses and production of print found in classroom signs, labels, notes, posters, calendars and directions
- Activities that teach print conventions, such as directionality
- Activities in which children practice how to handle a book—how to turn pages, how to find the tops and bottoms of pages, and how to tell the front and back covers
- Lessons in word awareness that help children become conscious of individual words, for example, their boundaries, their appearance and their length
- Activities in which children practice with patterned language stories

**3. Children have opportunities to hear good stories and informational books read aloud daily**

Listening to and talking about books on a regular basis provides children with demonstrations of the benefits and pleasures of reading. Story reading introduces children to new words, new sentences, new places, and new ideas. They also hear the kinds of vocabulary, sentences, and text structures they will find in their school books and be expected to read and understand. Reading aloud to children every day, and talking about books and stories, supports and extends oral language development and helps students connect oral to written language.

**\*4. Children have opportunities to understand and manipulate the building blocks of spoken language**

Children's ability to think about individual words as a sequence of sounds (phonemes) is important to their learning how to read an alphabetic language. Toward that understanding, children learn that sentences are made up of groups of separate words, and that words are made up of separate sounds.

Indeed, research has shown conclusively that children's phonemic awareness—their understanding that spoken words can be divided into separate sounds—is one of the best predictors of their success in learning to read. Instruction that promotes children's understanding and use of the building blocks of spoken language includes the following:

- Language games that teach children to identify rhyming words and to create rhymes on their own
- Activities that help children understand that spoken sentences are made up of groups of separate words, that words are made up of syllables, and that words can be broken down into separate sounds
- Auditory activities in which children manipulate the sounds of words, separate or segment the sounds of words, blend sounds, delete sounds or substitute new sounds for those deleted

**5. Children have opportunities to learn about and manipulate the building blocks of written language**

Children must also become expert users of the building blocks of written language. Knowledge of letters (graphemes) leads to success with learning to read. This includes the use, purpose and function of letters. Instruction that helps children learn about the essential building blocks of written language includes the following:

- Alphabetic knowledge activities in which children learn the names of letters and to identify them rapidly and accurately
- A variety of writing activities in which children learn to print the letters that they are learning to identify
- Writing activities in which children have the opportunity to experiment with and manipulate letters to make messages

**\*6. Children have opportunities to learn the relationship between the sounds of spoken language and the letters of written language**

Increasing children's awareness of the sounds of spoken language and their familiarity with the letters of written language prepares them to understand the alphabetic principle—that written words are composed of patterns of letters that represent the sounds of spoken words. Effective instruction provides children with explicit and systematic teaching of sound-letter relationships in a sequence that permits the children to assimilate and apply what they are learning. Instruction that helps children understand the alphabetic principle and learn the most common relationships between sounds and letters includes the following:

- Alphabetic awareness activities in which children learn that printed words are made up of patterns of letters
- Lessons in sound-letter relationships that are organized systematically and that provide as much practice and review as is needed
- Activities in which children combine and manipulate letters to change words and spelling patterns

**\*7. Children have opportunities to learn decoding strategies**

Efficient decoding strategies permit readers to quickly and automatically translate the letters or spelling patterns of written words into speech sounds so that they can identify words and gain rapid access to their meanings. Children must learn to identify words quickly and effortlessly, so that they can focus on the meaning of what they are reading.

Research indicates that good readers rely primarily on print rather than on pictures or context to help them identify familiar words—or even to figure out words they have not seen before. For this reason, it is important that children learn effective sounding-out strategies that will allow them to decode words they have never seen in print. Some strategies of decoding instruction focus primarily on the relationships between sounds and letters; others combine letter-sound practice with word families, with onsets and rimes, and with blending activities. More advanced decoding strategies focus on structural analysis, the identification of root words, and prefixes and suffixes.

Instruction should introduce “irregular” words in a reasonable sequence and use these words in the program's reading materials. It is important to realize, however, that essentially all words must become “sight words”—words children identify quickly, accurately, and effortlessly. Effective decoding instruction is explicit and systematic and can include the following:

- Practice in decoding and identifying words that contain the letter-sound relationships children are learning to read and need for reading and writing
- Practice activities that involve word families and rhyming patterns
- Practice activities that involve blending together the components of sounded out words
- “Word sort” activities in which children change beginning, middle, or ending letters of related words, thus changing the words they decode and spell
- Introduction of phonetically “irregular” words in practice activities and stories

**\*8. Children have opportunities to write and relate their writing to spelling and reading**

As children learn to read and write words, they become aware of how these words are spelled. Increasing children's awareness of spelling patterns hastens their progress in both reading and writing. In the early grades, spelling instruction must be coordinated with the program of reading instruction. As children progress, well organized, systematic lessons in spelling will be beneficial. Activities for effective spelling instruction should include the following:

- Activities that are related to the words that children are reading and writing
- Proofreading activities
- An emphasis on pride in correct spelling
- Lessons that help children attend to spelling conventions in a systematic way
- Activities that surround children in words and make reading and writing purpose-filled

**\*9. Children have opportunities to practice accurate and fluent reading in decodable stories**

When children are learning to read, the most useful practice in promoting automatic word recognition and fluent reading is the reading and rereading of meaningful stories that are decodable and manageable. The words in these stories are based on the sound-letter relationships the children are learning.

Such stories provide children with the opportunity to practice what they are learning about letters and sounds (Predictable, patterned language stories are often not based on the sound-letter relationships children are learning and should not be confused with decodable text.) As children learn to read words, sentences, and stories, fluently, accurately, and automatically they no longer have to struggle to identify words and are free to pay closer attention to the meaning.

Research strongly asserts that children benefit greatly from direct, systematic decoding instruction and that instruction should follow with practice in decodable stories. Stories should "fit" the child's reading level. Beginning readers should be able to read easily 90 percent or more of the words in a story, and after practice should be able to do so quickly, accurately, and effortlessly.



**10. Children have opportunities to develop new vocabulary through wide reading and direct vocabulary instruction**

Written language places greater demands on children's vocabulary knowledge than does their everyday spoken language. In fact, many of the new words children learn in a year are learned from being read to and as they read on their own. It is obvious that the number of new words children learn from reading depends upon how much they read and that the amount children read varies enormously. Therefore, it is important that teachers read aloud to children and encourage them to do a great deal of voluntary and independent reading. In addition, during reading instruction, children should be encouraged to attend to the meanings of new words. Activities that promote the acquisition of vocabulary include the following:

- Wide reading of a variety of genres, both narrative and informational
- Instruction that provides explicit information both about the meanings of words and about how they are used in the stories the children are reading
- Activities that involve children in analyzing context to figure out the meaning of unfamiliar words in a reading passage
- Discussions of new words that occur during the course of the day, for example in books that have been read aloud by the teacher, in content area studies and in textbooks
- Activities that encourage children both to use words they are learning in their own writing, and to keep records of interesting and related words

**11. Children have opportunities to read and comprehend a wide assortment of books and other texts**

As children develop effective decoding strategies, they begin to read books and other texts that are less predictable and patterned. Soon, they become enthusiastic, independent readers of all kinds of written materials—books, magazines, newspapers, computer screens, and more! Providing children with a great many books, both narrative and informational, is of primary importance. Classroom and campus libraries must offer children a variety of reading materials, some that are easy to read and others that are more challenging and of increasing difficulty and complexity. Children need access to many books that travel home for reading with family members. Classrooms that ensure wide reading provide the following:

- Daily time for self-selected reading
- Access to books children want to read in their classrooms and school libraries
- Access to books that can be taken home to be read independently, or to family members

**12. Children have opportunities to learn and apply comprehension strategies as they reflect upon and think critically about what they read**

Written language is not just speech written down. Instead, written language offers new vocabulary, new language patterns, new thoughts, and new ways of thinking. Comprehension depends on the ability to quickly and automatically identify familiar words, which includes fluent reading, as well as the ability to figure out new words. But this is not enough.

Comprehension also depends upon the understanding of word meanings, on the development of meaningful ideas from groups of words (phrases, clauses, and sentences) and the drawing of inferences. It also depends upon the demands of the text (its concepts, its density), and the knowledge the reader brings to the text. Good book discussions with their friends and classmates are one avenue for making these connections. Such discussions will help children to appreciate and reflect on new aspects of written language and on the wide, wonderful world of print. For children to receive the greatest benefit and enjoyment from their reading, they must receive comprehension strategy instruction that builds on their knowledge of the world and of language. Comprehension strategy instruction can include the following:

- Activities that help children learn to preview selections, anticipate content, and make connections between what they will read and what they already know
- Instruction that provides options when understanding breaks down, for example, rereading, asking for expert help, and looking up words
- Guidance for helping children compare characters, events, and themes of different stories.
- Activities that encourage discussion about what is being read and how ideas can be linked for example, to draw conclusions and make predictions
- Activities that help children extend their reading experiences through the reading of more difficult texts with the teacher

## **Eight Features of Classrooms and Campuses that Support Effective Beginning Reading Instruction**

Many factors contribute to the overall success of a beginning reading program. These factors require a total school effort and cannot be accomplished without the support of the school administrators. The following is a list of those classroom and campus features that support a successful reading program.

### **1. Careful Use of Instructional Time**

- While language arts practice occurs throughout the entire school day, significant time must be protected for and dedicated to reading and language arts instruction. Many campuses dedicate a substantial amount of time each morning for reading and language arts instruction (e.g., 90 minutes or more). Some children need additional assistance and are provided instruction that is based on their specific needs.
- Language and concept development activities are an important part of the classroom curriculum.
- Language arts instruction includes daily reading aloud and discussion of high-quality literature, both fiction and nonfiction.
- Systematic instruction in reading begins as early as kindergarten and continues throughout the primary grades. This careful, consistent instruction is based on thoughtful evaluation of data obtained from classroom observations, formal and informal assessments, and samples of student work.

### **2. Effective Instructional Practices**

- Teachers organize flexible and purposeful groups that are based on children's instructional needs. Membership in these groups changes as the children progress or as they experience difficulty.
- Teachers provide instruction that involves both frequent interactions with children and constructive feedback.
- Children read at an appropriate level in their programs of instruction, and teachers adjust their instructional practices according to how well and how quickly the children progress.
- In first- and second-grade classrooms, children who are having difficulty learning to read are provided with additional reading instruction in a small group or tutoring setting. In addition, before-school or after-school sessions and summer school classes are provided for all children who need extra help. Such instruction is coordinated with the programs the children are engaged in during the regular school day and based on continual and thoughtful analysis of each child's progress and needs as a reader and writer.

### 3. Sound Instructional Materials

Research-based criteria are used to select the instructional materials that provide the structure for the classroom reading program. These criteria establish the need for systematic instruction and sufficient practice in a number of aspects of beginning reading. These aspects include the following:

**phonemic awareness:** Children learn how to divide spoken words into individual sounds and to blend spoken sounds into words.

**alphabetic knowledge:** Children learn to recognize, name, and write letters.

**alphabetic principle:** Children learn that sounds can be represented by letters, and to recognize the most useful sound-letter relationships.

**decoding strategies:** Children learn blending and other decoding strategies that permit them to sound out new words and identify them quickly.

**spelling and writing:** Children write using their knowledge of printed letters and the sounds they represent. Because knowledge of letter-sound patterns contributes to reading success, spelling instruction is coordinated with the program of reading instruction. Knowledge of and practice in correct spellings also contributes to more effective writing.

**manageable, decodable text:** Children read words, sentences, and stories that contain the sound-letter relationships they are learning, as well as some “sight” words. Because fluent reading is essential to comprehension, children should practice both oral and silent reading. Children should have easy access to an array of story books and other reading materials that they can read on their own and with others.

**vocabulary acquisition:** The meanings of unfamiliar words are taught and discussed. Children also acquire word meanings through wide reading.

**comprehension and understanding:** Children discuss the meanings of everything they are learning to read—words, sentences, and stories—with each other and with their teachers and their tutors. They learn comprehension strategies as they learn to read more complex books and other texts.

**language activities:** Children expand their speaking and listening skills, their background and vocabulary knowledge in formal and informal activities as they engage in storytime discussion, journal keeping, wide reading and purposeful writing.

### 4. Reading Opportunities

- As children develop as readers, they eagerly read books they can comprehend, learn from, and enjoy.
- Children must have access to classroom and school libraries that contain a large and varied collection of books that encourage the development of the following:

**wide reading:** As children become fluent readers, they read increasingly challenging literature, both fiction and nonfiction, of greater complexity and difficulty. They read daily - with partners, in groups, and independently at school and at home.

**classroom discussions:** Teachers and students engage in meaningful discussions that focus on interpretations of and reflective thinking about what they (and others) are reading and writing. They learn to support their interpretations by relying on the text.

**comprehension strategies:** As they read various kinds of books and other materials, children learn and practice comprehension strategies, sometimes on their own and sometimes with direct help from their teachers.

## 5. A Variety of Assessment Tools

Teachers and administrators who regard assessment as informative, select and administer assessments according to the needs of individual students. They conduct ongoing evaluations of student progress to help them plan instruction. Parents, teachers, and administrators are kept abreast of all children's reading progress based on such assessment and evaluations. Children who reveal serious problems in reading often need further assessment. However, the following assessment and evaluations should be used with all children:

**screening assessments:** During kindergarten and first grade, children are screened for phonemic awareness, alphabetic knowledge, and understanding of basic language concepts.

**informal assessments:** On a regular basis, children are informally assessed to determine if they are making adequate progress. These assessments can include measures of reading rate and accuracy and story retellings. These assessments are used as a basis for adjusting instruction to the needs of each child.

**end-of-year assessments:** Children are assessed at the end of the school year to inform parents, teachers, and campus and district administrators about student progress. These assessments are used to make plans to meet the needs of children and of the campus in the following year.

## 6. A Positive Campus Climate

Administrators and staff create campuses that are welcoming to their students and that contribute to their successful progress as readers. Some aspects of positive campus climate include:

**attractive environment:** Buildings and classrooms are clean, neat, and inviting.

**book rich environment:** Lots of books are in evidence (and in use) in classroom libraries, and the school library.

**student work:** Children's written work is displayed in the halls and in the classrooms.

**positive staff:** The staff is friendly and respectful of students and is committed to a program of continuous student development from one grade level to the next.

**curricular decisions:** Effective practices are maintained and often improved; new ideas are discussed, evaluated, and integrated with existing practice.

**student attitudes:** Students are proud of their accomplishments and respectful of teachers and of other students.

## **7. Professional Development**

- Teachers take part in frequent, relevant continuous professional development that focuses on the implementation of good classroom reading instruction that meets the needs of all children.
- Teachers have time to work with and to consult each other, to visit each other's classrooms, and to make instructional decisions that improve the coordination of instruction from one grade level to the next.
- Teachers are given time to practice instructional strategies and are supported throughout the school year.
- Lead or master teachers are available to coach new and less experienced teachers.

## **8. Sound Administrative Practices**

- Administrators work to determine that all of the resources of the campus, including staff time, are allocated to meet the goal of successful reading instruction for all students.
- Administrators either assure or designate responsibility for instructional leadership that includes monitoring students' progress in each classroom and providing help when students are not making sufficient progress.
- In the professional development process, administrators help teachers focus on the performance of their students.
- In their words and in their actions, administrators consistently support the components of effective reading instruction.

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**PART III**  
**STANDARD APPLICATION SYSTEM (SAS)**

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**TEXAS EDUCATION AGENCY**  
**Standard Application System (SAS)**  
**Academics 2000: First Things First**  
**The Texas Goals 2000 Initiative**  
**Reading Improvement Grants**  
**School Year 1997-98**  
**SCHEDULE #1—General Information**

County-District No. \_\_\_\_\_

Region No. \_\_\_\_\_

Project No. (Assigned by TEA) \_\_\_\_\_

1. **Applicant Agency:**  
(Name, Address, City, State, Zip)

2. **Applicant Contact Person:**  
(Name, Title, Address [If different])

Phone (       )

Summer Contact Person: (Name)

Phone (       )

3. **Purpose of Application:**

☐ New Application

☐ Amended Application No. \_\_\_\_\_

RFA #701-97-006

4. **Use of Standard Application System:** This system provides a series of standard schedules to be used as formats by applicants who apply for funds administered by the Texas Education Agency. If additional clarification is needed, please call (512) 463-9315.

5. **Program Authority:** P.L. 103-227; GOALS 2000: Educate America Act

- ☒ A. Local Improvement (Planning and School Improvement Initiatives, including Professional Development)  
☐ B. Preservice Education

6. **Index to this Application:** An X has been placed in the New Application column to indicate each schedule that **must** be submitted as a part of the application. The applicant must place an X in this column by each additional schedule submitted to complete the application. For amendments, the applicant must place an X in the Amended Application column next to the schedule(s) being submitted as a part of is amendment.

Sch. No.	Schedule Name	New Applic.	Amend. Applic.	Sch. No.	Schedule Name	New Applic.	Amend. Applic.
1	General Information	X	X	4	Program Abstract	X	
2	Certification for Shared Services Arrangements			4A	Program Needs Assessment	X	
3	Budget Summary	X	X	4B	Program Description	X	
3A	Purpose of Amendment	N/A	X	4C	Program Evaluation Design	X	
	Support Schedules for—			4D	(Other Program Schedules)	N/A	
3B	Payroll Costs 6100			5	Private Schools	X	
3C	Professional and Contracted Services 6200			5A	(Other Supplemental Schedules Specify)	N/A	
3D	Supplies and Materials 6300			6A	Provisions and Assurances	X	
3E	Other Operating Costs 6400			6B	Debarment and Suspension Certification	X	
3F	Debt Service 6500	N/A	N/A	6C	Lobbying Certification	X	
3G	Capital Outlay 6600—(Exclusive of 6629)			6D	Disclosure of Lobbying Activities	X	
3H	Building Purchase, Construction, or Improvements 6629	N/A	N/A	6E	Special Provisions and Assurances	X	

**Certification and Incorporation**

7. I hereby certify that the information contained in this application is, to the best of my knowledge, correct and that the local education agency named above has authorized me as its representative to obligate this agency. I further certify that any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws and regulations, application guidelines and instructions, the Provisions and Assurances, Debarment and Suspension, lobbying requirements, Special Provisions and Assurances, and the schedules attached as applicable. It is understood by applicant that this application constitutes an offer, and if accepted by Agency or renegotiated to acceptance, will form a binding agreement.

Typed Name of the District Superintendent  
or Executive Director of ESC

Telephone Number

Date Signed

Signature (Original)

Typed Name of the President of the District  
Board of Trustees

Telephone Number

Date Signed

Signature (Original)

By Thursday, April 24, 1997

Return 6 sets of the application, 3 sets with original signatures to:

Texas Education Agency  
William B. Travis Bldg.  
Document Control Center, Room 6-108  
1701 North Congress Avenue  
Austin, Texas 78701-1494

**Original Signatures**  
(blue ink preferred)

TEA DOCUMENT CONTROL NO. \_\_\_\_\_

SAS-499R98

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**TEXAS EDUCATION AGENCY  
Standard Application System (SAS)  
Academics 2000: First Things First  
The Texas Goals 2000 Initiative  
Reading Improvement Grants  
School Year 1997-98  
SCHEDULE #2—**

County-District No. \_\_\_\_\_

Amendment No. \_\_\_\_\_

**Certification for Shared Services Arrangements  
(formerly Cooperative Projects)**

Program Authority: Goals 2000

I, as one of the undersigned, certify that to the best of my knowledge, the information contained in this application is correct and complete, that the local education agency (LEA) that I represent has authorized me to file this application, and that such authorization action is recorded in the minutes of the agency's board meeting. The participating or intermediate education agency named below has been designated as the administrative and fiscal agent for this project and is authorized to receive and expend funds for the conduct of this project. The fiscal agent is accountable for all SSA activities and is therefore responsible for ensuring that all funds including payments to member districts of SSA are expended in accordance with applicable laws and regulations. All participating agencies have entered into a written agreement concerning the refund liability that may result from on-site monitoring or audits and an agreement concerning final disposition of equipment, facilities, and materials purchased for this project from funds specified below. **Each member identified below acknowledges accountability for the requirements contained in Schedule #6A through #6E as applicable.** It is understood that the fiscal agent is responsible for the refund for any exceptions taken as a result of on-site monitoring or audits, however, based upon the **SHARED SERVICES AGREEMENT**, which must be on file with the fiscal agent for review, the fiscal agent may have recourse to the member agencies where discrepancy(ies) occurred. All funds are released when the **tentative** entitlement is released, i.e., any additional funds that result from the maximum entitlement or from reallocation will not require additional signatures.

Line #	County District Number	Typed Legal Name of Agency	Typed Name/Title of Authorized Representative	Original Signature	Amount of Funds Designated for Member Use (if applicable)
	(A)	(B)	(C)	(D)	(E)
01		Designated Fiscal Agent:			\$
02		Member Districts:			\$
03					
04					
05					
06					
07					
08					
09					
10					
11					
12					
13					
14					
15					
16					
17					
18					
19					
20	TOTAL AMOUNT				\$

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**TEXAS EDUCATION AGENCY**  
**Standard Application System (SAS)**  
**Academics 2000: First Things First**  
**The Texas Goals 2000 Initiative**  
**Reading Improvement Grants**  
**School Year 1997-98**  
**SCHEDULE #3—Budget Summary**  
**Part A**

County-District No. \_\_\_\_\_

Amendment No. \_\_\_\_\_

Program Authority: Goals 2000Fund Code: 207Shared Services Arrangements Code: 296

Ln No.	Class/Object Description	Sch. #	C/Obj	(A)		(B)	(C)
				Local Improvement		Preservice Education	Total
				(A1) 25%	(A2) 75%		
				Planning	School Improvement Initiatives and Professional Development		
01	Payroll Costs	3B	6100	\$	\$	\$	\$
02	Professional and Contracted Services	3C	6200				
03	Supplies and Materials	3D	6300				
04	Other Operating Costs	3E	6400				
05	Debt Service-Debt Principal	3F	6510				
06	Capital Outlay—Furniture and Equipment	3G	6600				
07	Building Purchase, Construction, or Improvements	3H	6629				
08	Total direct costs (Sum of Lines 1-7)			\$	\$	\$	\$
09	Indirect costs ( _____ %)						
10	Total Costs			\$	\$	\$	\$

11	Payments to Member Districts of Shared Services Arrangements	6493		\$
----	--	------	--	----

Of the amount requested for local improvement in Column A, no more than 25 percent may be used to develop the local improvement plan (Column A1). At least 75 percent of the amount requested in Column A must be used to support individual school improvement initiatives, including professional development (Column A2).

**At least 50 percent of the amount budgeted in Column A2 for individual school improvement initiatives and professional development must be used for one or more campuses with special needs.**

**Administrative costs are limited to five percent, including indirect costs, of the total grant (Column C line 10).**

Do not duplicate costs across columns (components).

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**TEXAS EDUCATION AGENCY**  
**Standard Application System (SAS)**  
**Academics 2000: First Things First**  
**The Texas Goals 2000 Initiative**  
**Reading Improvement Grants**  
**School Year 1997-98**

County-District No. \_\_\_\_\_

**SCHEDULE #3—Budget Summary**  
**Part B—First Quarter Anticipated Expenditures**  
**(to be used by Agency to determine initial cash advance)**

Line No.	Class/Object Description	Schedule Number	C/Obj. Code	First Quarter Anticipated Expenditures
01	Payroll Costs	3B	6100	\$
02	Professional and Contracted Services	3C	6200	
03	Supplies and Materials	3D	6300	
04	Other Operating Costs	3E	6400	
05	Debt Service	3F	6500	
06	Capital Outlay (Exclusive of 6629)	3G	6600	
07	Building Purchase, Construction, or Improvements	3H	6629	
08	Total Direct Costs (Sum of lines 1-7)			\$
09	Indirect Costs ( _____ %)			
10	Total Costs			\$

11	Payments to Member Districts of Shared Services Arrangements	6493	\$
----	--	------	----

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**TEXAS EDUCATION AGENCY**  
**Standard Application System (SAS)**  
**Academics 2000: First Things First**  
**The Texas Goals 2000 Initiative**  
**Reading Improvement Grants**  
**School Year 1997-98**

County-District No. \_\_\_\_\_

Amendment No. \_\_\_\_\_

**SCHEDULE #3—Budget Summary**  
**Part C—Description of Funds Used for Administration**

**Instructions:**

Federal regulations limit the amount of Goals 2000 funds that may be used to administer the program. The fiscal/management agent shall use not more than five percent (5%) of such funds for administrative costs for any fiscal year, as clarified in Section 309(6)(C), of the Goals 2000: Educate America Act. Administrative costs or expenses include: costs associated with overall program administration; salaries and benefits for direction and administrative staff or existing organizations that sponsor a funded program; insurance that protects the grantee (e.g., liability insurance); and indirect costs.

Use the following Bulletin 679 class/object categories to indicate the amount of Goals 2000 grant funds to be used to pay for administrative costs. Spaces for individual class/object amounts are provided below for the applicant's use in evaluating the portion of each category used for administrative costs. Page 3-3 provides space for indicating the TOTAL and for calculating actual indirect cost rate, not to exceed 5% of the TOTAL AMOUNT.

**6100 Payroll Costs**

Amount of Funds  
Used for Administration: \$ \_\_\_\_\_

**List personnel and assigned duties:**

**6200 Professional and Contracted Services**

Amount of Funds  
Used for Administration: \$ \_\_\_\_\_

**List contracted services:**

**Do not include these pages unless you are taking the five percent (5%) or less for Administration Costs.**

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**TEXAS EDUCATION AGENCY  
Standard Application System (SAS)  
Academics 2000: First Things First  
The Texas Goals 2000 Initiative  
Reading Improvement Grants  
School Year 1997-98**

\_\_\_\_\_  
County-District No.

Amendment No. \_\_\_\_\_

**SCHEDULE #3—Budget Summary  
Description of Funds Used for Administration**

**6300 Supplies and Materials**

Amount of Funds  
Used for Administration: \$ \_\_\_\_\_

**Indicate type of supplies and materials and intended usage:**

**6400 Other Operating Costs**

Amount of Funds  
Used for Administration: \$ \_\_\_\_\_

**Indicate type of expenses:**

**6600—Capital Outlay (Exclusive of 6629)**

Amount of Funds  
Used for Administration: \$ \_\_\_\_\_

**Indicate types of equipment and intended usage:**

**Do not include these pages unless you are taking the five percent (5%) or less Administration Costs.**



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**TEXAS EDUCATION AGENCY**  
**Standard Application System (SAS)**  
**Academics 2000: First Things First**  
**The Texas Goals 2000 Initiative**  
**Reading Improvement Grants**  
**School Year 1997-98**

County-District No. \_\_\_\_\_

Amendment No. \_\_\_\_\_

**SCHEDULE #3—Budget Summary**  
**Description of Funds Used for Administration**

Summary of Administrative Costs Class/Object Category (A)	Amount of Funds Used for Administration by Class/Object from Pages 3-2 and 3-3 (B)	(C)
1. 6100—Payroll Costs	\$ _____	Enter amount from Schedule #3— Budget Summary  Line 10    \$ _____  Multiply this amount by .05  Maximum Allowable Funding for Administration  *\$ _____
2. 6200—Professional and Contracted Services	\$ _____	
3. 6300—Supplies and Materials	\$ _____	
4. 6400—Other Operating Costs	\$ _____	
5. 6600—Capital Outlay (Exclusive of 6629)	\$ _____	
6. Indirect Cost	\$ _____	
7. Total Costs for All Class/Object Categories	*\$ _____	

\*The total of the "Amount of Funds Used for Administration Costs" in line 7, Column B of this table must NOT be greater than the Maximum Allowable Funding for Administration (Column C).

**Do not include these pages unless you are taking the five percent (5%) or less Administration Cost and/or taking indirect costs.**

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**TEXAS EDUCATION AGENCY**  
**Standard Application System (SAS)**  
**Academics 2000: First Things First**  
**The Texas Goals 2000 Initiative**  
**Reading Improvement Grants**  
**School Year 1997-98**

County-District No. \_\_\_\_\_

Amendment No. \_\_\_\_\_

Region No. \_\_\_\_\_

**SCHEDULE #3A—Purpose of Amendment****Indicate the reason(s) an amendment is requested: (Do not include this page in your application.)**

- ☐ 1. Additional funds needed.
- ☐ 2. Cumulative transfers among direct cost categories (class/objects) which exceed ten percent of the total current approved budget.
- ☐ 3. Transfer of funds allocated for training costs; i.e., from direct payments to trainees to other expense categories.
- ☐ 4. Addition of a line item within a class/object code.
- ☒ 5. Change in construction costs.
- ☐ 6. Change in scope or objectives (regardless of whether there is an associated budget revision requiring prior approval).
- ☐ 7. Change ending date of grant period: From \_\_\_\_\_ to \_\_\_\_\_.  
(If requesting to extend the grant period by more than 3 months, attach a narrative explanation/justification for the need to extend.)
- ☐ 8. Increase in quantity of capital outlay item(s) requested.
- ☐ 9. Increase or decrease in number of positions approved on Schedule #3B—Payroll Costs.
- ☐ 10. Other (specify) \_\_\_\_\_

**Use one Schedule #3A for each component being amended.**☐ Local Improvement (Planning and School Improvement Initiatives, including Professional Development)☐ Preservice Education

Line No.	Sch. No.	Class/Object Code	(A) Previously Approved Budget	(B) Amount Deleted	(C) Amount Added	(D) New Budget
01	3B	6100	\$	\$	\$	\$
02	3C	6200				
03	3D	6300				
04	3E	6400				
05	3F	6500				
06	3G	6600				
07	3H	6629				
08	Total Direct Costs		\$	\$	\$	\$
09	Indirect Cost ( %)					
10	Total Costs		\$	\$	\$	\$

11	Payments to Member Districts of Shared Services Arrangements	\$	\$	\$	\$
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**TEXAS EDUCATION AGENCY**  
**Standard Application System (SAS)**  
**Academics 2000: First Things First**  
**The Texas Goals 2000 Initiative**  
**Reading Improvement Grants**  
**School Year 1997-98**

**SUPPORT SCHEDULE #3B—Payroll Costs 6100**

County-District No. \_\_\_\_\_

Amendment No. \_\_\_\_\_

Line No.	Description of Payroll Costs	Number of Positions	Estimated Number of Days Employed	Estimated % of Time Charged to Grant	(A) Local Improvement		(B) Preservice Education	(C) Total
					A1— Planning	A2—School Improvement Initiatives and Professional Development		
01					\$	\$	\$	\$
02								
03								
04								
05								
06								
07								
08	Substitutes for Public School Personnel (6112)							
09	Extra-Duty Pay/Beyond Normal Work Hours (6119/6121)							
10	<b>TOTAL COSTS</b>				\$	\$	\$	\$

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**TEXAS EDUCATION AGENCY**  
**Standard Application System (SAS)**  
**Academics 2000: First Things First**  
**The Texas Goals 2000 Initiative**  
**Reading Improvement Grants**  
**School Year 1997-98**  
**SUPPORT SCHEDULE #3C—**

**Professional and Contracted Services 6200**

County-District No. \_\_\_\_\_

Amendment No. \_\_\_\_\_

- (1) Show consultant fee per day x number of days.  
 (2) List travel for consultants and materials to be provided by consultants on a separate line from the fee.  
 (3) Attach substantial justification for any consultant paid a fee of more than \$750 a day (not including travel).

Line No.	Description of Expense Items	(A) Local Improvement		(B)	(C)
		A1— Planning	A2—School Improvement Initiatives and Prof. Dev.	Preservice Education	TOTAL
01		\$	\$	\$	\$
02					
03					
04					
05					
06					
07					
08					
09	Tuition Services (622X)				
10	<b>TOTAL COSTS</b>	\$	\$	\$	\$

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**TEXAS EDUCATION AGENCY**  
**Standard Application System (SAS)**  
**Academics 2000: First Things First**  
**The Texas Goals 2000 Initiative**  
**Reading Improvement Grants**  
**School Year 1997-98**  
**SUPPORT SCHEDULE #3D—**  
**Supplies and Materials 6300**

County-District No. \_\_\_\_\_

Amendment No. \_\_\_\_\_

Line No.	Description of Expense Items	(A) Local Improvement		(B)	(C)
		A1— Planning	A2—School Improvement Initiatives and Prof. Dev.	Preservice Education	TOTAL
01		\$	\$	\$	\$
02					
03					
04					
05					
06					
07					
08					
09					
10	<b>TOTAL COSTS</b>	\$	\$	\$	\$

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**TEXAS EDUCATION AGENCY**  
**Standard Application System (SAS)**  
**Academics 2000: First Things First**  
**The Texas Goals 2000 Initiative**  
**Reading Improvement Grants**  
**School Year 1997-98**  
**SUPPORT SCHEDULE #3E—**  
**Other Operating Costs 6400**

County-District No. \_\_\_\_\_

Amendment No. \_\_\_\_\_

Line No.	Description of Expense Items	(A) (Local Improvement)		(B)	(C)
		A1— Planning	A2—School Improvement Initiatives and Prof. Dev.	Preservice Education	TOTAL
01		\$	\$	\$	\$
02					
03					
04					
05					
06					
07					
08	Food Costs (6499)				
09	Stipends Paid to Non-employees (6413)				
10	<b>TOTAL COSTS</b>	\$	\$	\$	\$

- (1) Explain food costs budgeted on line 08.  
(2) Explain purpose of stipends paid to non-employees budgeted on line 09.  
(3) Explain purpose of field trips.

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**TEXAS EDUCATION AGENCY**  
**Standard Application System (SAS)**  
**Academics 2000: First Things First**  
**The Texas Goals 2000 Initiative**  
**Reading Improvement Grants**  
**School Year 1997-98**  
**SUPPORT SCHEDULE #3G—**  
**Capital Outlay—6600 (Exclusive of 6629)**

County-District No. \_\_\_\_\_

Amendment No. \_\_\_\_\_

On lines 01-08, list only equipment having a unit cost of \$5,000 or more (663X).

Line No.	Generic Description of Expense Items	(A) Local Improvement		(B)	(C)
		A1 Planning	A2—School Improvement Initiatives and Prof. Dev.	Preservice Education	TOTAL
		QUANTITY	QUANTITY	QUANTITY	\$
01					\$
02					
03					
04					
05					
06					
07					
08					
09	Sum of fixed assets with a unit cost under \$5,000 (6649)	\$	\$	\$	\$
10	<b>TOTAL COSTS</b>	\$	\$	\$	\$

Line 09: Attach a listing identifying each type of equipment requested and an explanation of how it will contribute toward meeting project objectives.

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**TEXAS EDUCATION AGENCY**  
**Standard Application System (SAS)**  
**Academics 2000: First Things First**  
**The Texas Goals 2000 Initiative**  
**Reading Improvement Grants**  
**School Year 1997-98**  
**SCHEDULE #4—Program Abstract**

County-District No. \_\_\_\_\_

Amendment No. \_\_\_\_\_

Program Component: ☐ Local Improvement (Planning and school improvement initiatives, including professional development)  
☐ Preservice Education

**Primary Target Population and Number to Be Served** (Limit to one page per program component):

Number of Campuses \_\_\_\_\_  
 Number of Staff \_\_\_\_\_

Number of Special Needs Campuses \_\_\_\_\_  
 Provide an attachment which lists each Special Needs Campus(es) by name, and indicate percentage of students on Free and Reduced Lunch and/or percentage of LEP students or if campus has at least 50% students not passing reading section of TAAS.

CAMPUS	GRADE LEVEL														TOTAL
	PK	K	1	2	3	4	5	6	7	8	9	10	11	12	
Public															
Private*															
TOTAL:															

**Need:****Major Objectives:****Major Activities:****Summary Evaluation Strategy:**



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**TEXAS EDUCATION AGENCY  
Standard Application System (SAS)  
Academics 2000: First Things First  
The Texas Goals 2000 Initiative  
Reading Improvement Grants  
School Year 1997-98**

**SCHEDULE #4A—Program Needs Assessment**

\_\_\_\_\_  
County-District No.

Amendment No. \_\_\_\_\_

- Program Component:
- ☐ Local Improvement (Planning and school improvement initiatives, including professional development)
  - ☐ Preservice Education

---

**Statement of Need** (Limit to one page per component—total of 2 pages):

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**TEXAS EDUCATION AGENCY  
Standard Application System (SAS)  
Continuation Funding for  
Academics 2000: First Things First  
The Texas Goals 2000 Initiative  
Reading Improvement Grants  
School Year 1997-98  
SCHEDULE #4B—Program Description  
Literature Review**

\_\_\_\_\_  
County-District No.

Amendment No. \_\_\_\_\_

---

(Limit to three pages):

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**TEXAS EDUCATION AGENCY  
Standard Application System (SAS)  
Continuation Funding for  
Academics 2000: First Things First  
The Texas Goals 2000 Initiative  
Reading Improvement Grants  
School Year 1997-98  
SCHEDULE #4B—Program Description  
Narrative**

\_\_\_\_\_  
County-District No.

Amendment No. \_\_\_\_\_

Program Component: ☐ Local Improvement (Planning and school improvement initiatives, including professional development)  
☐ Preservice Education

---

**Narrative/Description of the Component** (Limit to five pages per component—total of 10 pages):

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**TEXAS EDUCATION AGENCY  
Standard Application System (SAS)  
Continuation Funding for  
Academics 2000: First Things First  
The Texas Goals 2000 Initiative  
Reading Improvement Grants  
School Year 1997-98  
SCHEDULE #4B—Program Description  
Objectives and Activities**

\_\_\_\_\_  
County-District No.

Amendment No. \_\_\_\_\_

**PROGRAM COMPONENT**

- ☐ Local Improvement (Planning and school  
improvement initiatives, including professional  
development)  
☐ Preservice Education

**STATEMENT OF NEED:**

**Objectives and Related Activities to Meet Stated Need**

**Level of  
Implementation**

**Estimated  
Time Frame**

**Means of Evaluating and  
Documenting Accomplishment**

14

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**TEXAS EDUCATION AGENCY  
Standard Application System (SAS)  
Continuation Funding for  
Academics 2000: First Things First  
The Texas Goals 2000 Initiative  
Reading Improvement Grants  
School Year 1997-98**

\_\_\_\_\_  
County-District No.

Amendment No. \_\_\_\_\_

**SCHEDULE #4C—Program Evaluation Design**

Program Component: ☐ Local Improvement (Planning and school improvement initiatives, including professional development)  
☐ Preservice Education

The applicant agrees to comply with any evaluation requirements established by the Texas Education Agency.

---

**Evaluation Design** (Limit to two pages per component—total of 4 pages):

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**TEXAS EDUCATION AGENCY  
Standard Application System (SAS)  
Academics 2000: First Things First  
The Texas Goals 2000 Initiative  
Reading Improvement Grants  
School Year 1997-98  
SCHEDULE #5—Private Schools**

\_\_\_\_\_  
County-District No.

Amendment No. \_\_\_\_\_

**Use one page for each component.**

☐ Professional Development    ☐ Preservice Education

☐ There are no private schools located within the applicant's boundaries.

☐ No private schools chose to participate.

**Part 1: A. Participants (Students)**

Total number of private school students (including students enrolled at facilities for the neglected or delinquent) to be impacted through teacher training.	
--	--

**B. Participants (Teachers)**

Total number of private school teachers participating in training (including teachers at facilities for the neglected or delinquent).	
---	--

**Part 2: Consultation and Services**

- |  |
|--|
| 1. Check the box indicating the manner of <b>PRIOR</b> and <b>CONTINUOUS</b> consultation. (NOTE: "Letters" may be used for initial contact, but if the private school indicates an interest in receiving services, the "letters" must be supplemented by additional means of communication in order to fulfill the "prior and continuous consultation" requirement.)<br><input type="checkbox"/> Letters (preferably certified) <input type="checkbox"/> Documented telephone calls<br><input type="checkbox"/> Meetings <input type="checkbox"/> Other (Specify) _____ |
|--|

- |  |
|--|
| 2. Basis used by private school(s) to select teachers for participation in training: |
|--|

**TEXAS EDUCATION AGENCY**  
**Standard Application System (SAS)**  
**Academics 2000: First Things First**  
**The Texas Goals 2000 Initiative**  
**Reading Improvement Grants**  
**School Years 1997-98**

County-District No. \_\_\_\_\_

**SCHEDULE #6A—Provisions and Assurances**

Statement of provisions and assurances for the program(s) in this application:

- A. As used in these Provisions and Assurances,  
"Contract" means the entire document, whatever its name or form, of which these Provisions and Assurances and other attachments and schedules, if any, are a part;  
"Agency" means the Texas Education Agency;  
"Contractor" means the party or parties to this contract other than Agency;  
"Project Administrator" means the person representing Agency or Contractor, as indicated by the contract, for the purposes of administering the contract project;  
"Contract Project" means the purpose intended to be achieved through the contract of which these Provisions and Assurances are a part;  
"Applicant" means the same as "Contractor";  
"SAS" means the Standard Application System of which the application document is a part;  
"Application" means the entire package submitted by the Applicant including the schedules contained in the application and so indicated on the General Information page of the application package;  
"Amendment" means an application that is revised in budget categories and/or in program activities. It includes both the original application and any subsequent amendments;  
"Grant" means the same as "Contract";  
"Grantee" means the same as "Contractor";  
"Grantor" means the same as "Agency"; and  
"DCC" means the Document Control Center of Agency.
- B. This contract is executed by Agency subject to the availability of funds appropriated by legislative act for the purposes stated. All amendments and/or extensions or subsequent contracts entered into for the same or continued purposes are executed contingent upon the availability of appropriated funds. Notwithstanding any other provision in this contract or any other document, this contract is void upon appropriated funds becoming unavailable. In addition, this contract may be terminated by Agency at any time upon notice to Contractor. Expenditures and/or activities for which Contractor may claim reimbursement shall not be accrued or claimed subsequent to receipt of such notice from Agency. This contract may be extended or otherwise amended only by formal written amendment properly executed by both Agency and Contractor. No other agreement, written or oral, purporting to alter or amend this contract shall be valid.
- C. Contractor shall hold Agency harmless from and shall indemnify Agency against any and all claims, demands, and causes of action of whatever kind or nature asserted by any third party and occurring or in any way incident to, arising from, or in connection with, any acts of Contractor, its agents, employees, and subcontractors, done in the conduct of the contract project.
- D. **For Discretionary Programs:** All encumbrances shall occur on or between the beginning and ending dates of the contract. All goods must be received and services rendered and subsequently liquidated (recorded as an expenditure or accounts payable) within the contract dates. In no manner shall encumbrances be considered or reflected as accounts payable or as expenditures. Obligations that are liquidated and recognized as expenditures must meet the allowable cost principles in OMB Circular A-87 and program rules, regulations, and guidelines contained elsewhere.
- For Formula Programs:** All encumbrances shall occur on or between the beginning and ending dates of the contract. Contractor must liquidate (record as an expenditure) all obligations (encumbrances) incurred under the contract not later than 30 days after the end of the contract (or as specified in a program regulation, the standard application system rules, or a request for application) to coincide with the submission of the final expenditure report, due 45 days after the end of the contract. "Obligations" mean the amounts of orders placed, contracts and subgrants awarded, goods and services received, and similar transactions during a given period that will require payment by the contractor during the same or a future period. Obligations representing orders placed are reflected in the accounting records as encumbrances. In no manner shall encumbrances be considered or reflected as accounts payable or as expenditures. Obligations that are liquidated and recognized as expenditures must meet the allowable cost principles in OMB Circular A-87 and program rules, regulations, and guidelines contained elsewhere.
- E. Contractor shall maintain its records and accounts in a manner which shall assure a full accounting for all funds received and expended by Contractor in connection with the contract project. These records and accounts shall be retained by Contractor and made available for programmatic or financial audit by Agency and by others authorized by law or regulation to make such an audit for a period of not less than five (5) years from the date of completion of the contract project or the date of the receipt by Agency of Contractor's final claim for payment or final expenditure report in connection with this contract, whichever is later. If an audit has been announced, the records shall be retained until such audit has been completed.
- F. If Contractor purchases capital outlay (furniture and/or equipment) to accomplish the objective(s) of the project, title will remain with Contractor for the period of the contract. Agency reserves the right to transfer capital outlay items for contract noncompliance during the contract period or as needed after the ending date of the contract. This provision applies to any and all furniture and/or equipment regardless of unit price and how the item is classified in Contractor's accounting record.
- G. If Agency determines that Agency is due a refund of money paid to Contractor pursuant to this contract, Contractor shall pay the money due to Agency within 30 days of Contractor's receipt of written notice that such money is due to Agency. If Contractor fails to make timely payment, Agency may obtain such money from Contractor by any means permitted by law, including but not limited to offset, counterclaim, cancellation, termination, suspension, total withholding, and/or disapproval of all or any subsequent applications for said funds.
- H. In the event of loss, damage or destruction of any property owned by or loaned by Agency while in the custody or control of Contractor, its employees, agents, consultants or subcontractors, Contractor shall indemnify Agency and pay to Agency the full value of or the full cost of repair or replacement of such property, whichever is the greater, within 30 days of Contractor's receipt of written notice of Agency's determination of the amount due. This applies whether the property is developed or purchased by Contractor pursuant to this contract or is provided by Agency to Contractor for use in the contract project. If Contractor fails to make timely payment, Agency may obtain such money from Contractor by any means permitted by law, including but not limited to offset or counterclaim against any money otherwise due to Contractor by Agency.

The signing of Schedule #1—General Information by applicant indicates acceptance of all requirements described on this schedule.

**TEXAS EDUCATION AGENCY**  
**Standard Application System (SAS)**  
**Academics 2000: First Things First**  
**The Texas Goals 2000 Initiative**  
**Reading Improvement Grants**  
**School Years 1997-98**

County-District No. \_\_\_\_\_

**SCHEDULE #6A—Provisions and Assurances**

- I. In the conduct of the contract project, Contractor shall be subject to Texas State Board of Education rules pertaining to this contract and the contract project and to the laws of the State of Texas governing this contract and the contract project. This contract constitutes the entire agreement between Agency and Contractor for the accomplishment of the contract project. This contract shall be interpreted according to the laws of the State of Texas except as may be otherwise provided for in this contract.
- J. Contractor shall be subject to and shall abide by all federal laws, rules and regulations pertaining to the contract project, including but not limited to: Americans With Disabilities Act, P.L. 101-336, 42 U.S.C. sec. 12101, and the regulations effectuating its provisions contained in 28 CFR Parts 35 and 36, 29 CFR Part 1630, and 47 CFR Parts 0 and 64; Title VI of the Civil Rights Act of 1964, as amended (prohibition of discrimination by race, color, or national origin), and the regulations effectuating its provisions contained in 34 CFR Part 100; Title IX of the Education Amendments of 1972, as amended (prohibition of sex discrimination in educational institutions) and the regulations effectuating its provisions contained in 34 CFR Part 106, if Contractor is an educational institution; Section 504 of the Rehabilitation Act of 1973, as amended (nondiscrimination on the basis of handicapping condition), and the regulations effectuating its provisions contained in 34 CFR Part 104; the Age Discrimination Act of 1975, as amended (prohibition of discrimination on basis of age), and any regulations issued thereunder; the Family Educational Rights and Privacy Act of 1975, as amended, and any regulations issued thereunder, if Contractor is an educational institution; Section 509 of H.R. 5233 as incorporated by reference in P.L. 99-500 and P.L. 99-591 (prohibition against the use of federal grant funds to influence legislation pending before Congress); and 34 CFR Part 99 (Privacy Rights of Parents and Students); P.L. 103-227, Title X, Miscellaneous Provisions of the GOALS 2000: Educate America Act; P.L. 103-382, Title XIV, General Provisions of the Elementary and Secondary Education Act, as amended; and the General Education Provisions Act, as amended. Contractor shall timely make and file with the proper authorities all forms, assurances and reports required by federal laws and regulations. Agency shall be responsible for reporting to the proper authorities any failure by Contractor to comply with the foregoing laws and regulations coming to Agency's attention, and may deny payment or recover payments made by Agency to Contractor in the event of Contractor's failure so to comply.
- K. Federal Regulations which apply to federally funded application:
1. For Local Education Agencies (LEAs): 28 CFR 35 Subparts A-E, 28 CFR 36 Subparts C & D, Appendix A, 29 CFR 1630, 34 CFR 75 or 76 as applicable, 77, 79, 80, 81, 82, 85, 86, 99, 104, 47 CFR 0 and 64, and OMB Circulars A-87 (Cost Principles) and A-128 (Audits);
  2. For Education Service Centers (ESCs): 28 CFR 35 Subparts A-E, 28 CFR 36 Subparts C & D, Appendix A, 29 CFR 1630, 34 CFR 75 or 76 as applicable, 77, 79, 80, 81, 82, 85, 86, 99, 104, 47 CFR 0 and 64, and OMB Circulars A-87 (Cost Principles) and A-128 (Audits);
  3. For Institutions of Higher Education (IHEs): 28 CFR 35 Subparts A-E, 28 CFR 36 Subparts C & D, Appendix A, 29 CFR 1630, 34 CFR 74, 77, 79, 81, 82, 85, 86, 99, 104, OMB Circular A-21 (Cost Principles), 47 CFR 0 and 64, OMB Circular A-128 (Audits), and OMB Circular A-110 (Uniform Administrative Requirements);
  4. For Nonprofit Organizations: 28 CFR 35 Subparts A-E, 28 CFR 36 Subparts C & D, Appendix A, 29 CFR 1630, 34 CFR 74, 77, 79, 81, 82, 85, 86, 99, 104, 47 CFR 0 and 64, OMB Circulars A-122 (Cost Principles) and A-133 (Audits), and OMB Circular A-110 (Uniform Administrative Requirements);
  5. For State Agencies: 28 CFR 35 Subparts A-E, 28 CFR 36 Subparts C & D, Appendix A, 29 CFR 1630, 34 CFR 76, 80, 81, 82, 85, 99, 104, 47 CFR 0 and 64, OMB Circulars A-87 (Cost Principles) and A-128 (Audits), and OMB Circular A-110 (Uniform Administrative Requirements); and
  6. For Commercial (for-profit) Organizations: 29 CFR 1630 and 48 CFR Part 31.
- L. If Contractor, in Agency's sole determination, fails or refuses for any reason to perform any of its obligations under this contract, Agency may impose such sanctions as it may deem appropriate. This includes but is not limited to the withholding of payments to Contractor until Contractor complies; the cancellation, termination, or suspension of this contract in whole or in part; and the seeking of other remedies as may be provided by this contract or by law. Any cancellation, termination, or suspension of this contract, if imposed, shall become effective at the close of business on the day of Contractor's receipt of written notice thereof from Agency.
- M. The Contractor's proposal, furnished to Agency in response to a request for proposal published in the Texas Register, or otherwise furnished by Contractor, is incorporated in this contract by reference for all necessary purposes. It is specifically provided, however, that the provisions of this contract shall prevail in all cases of conflict arising from the terms of Contractor's proposal whether such proposal is a written part of this contract or is attached as a separate document.
- N. Contractor shall not assign or subcontract any of its rights or responsibilities under this contract, except as may be otherwise provided for in this application, without prior formal written amendment of this contract properly executed by both Agency and Contractor.
- O. If this contract is canceled, terminated, or suspended by Agency prior to its expiration date, the monetary value of services properly performed by Contractor pursuant to this contract shall be determined by Agency and paid to Contractor as soon as reasonably possible.
- P. The terms, conditions, and assurances which are stated in the Request for Application, in response to which Applicant is submitting this application, are incorporated herein by reference for all purposes. The instructions to the Standard Application System are incorporated herein by reference.
- Q. Notwithstanding any other provision of this application, Applicant shall not use or pay any consultant in the conduct of this application if the services to be rendered by any such consultant can be provided by Applicant's employees.
- R. All materials, conceptions, and products arising from the contract project produced or conceived by Contractor, its employees, agents, consultants, or subcontractors shall be the sole property of Agency. Agency shall have the exclusive right to copyright and patent these materials, conceptions, and products subject to applicable law. Contractor shall so bind all concerned.
- S. Applicant certifies that the person signing this application has been properly delegated this authority.
- T. For federally funded projects and for those personnel whose salaries are prorated between or among different funding sources, time and effort records will be maintained by Applicant that will confirm the services provided within each funding source. Applicant must adjust payroll records and expenditures based on this documentation.

The signing of Schedule #1—General Information by applicant indicates acceptance of all requirements described on this schedule.



**TEXAS EDUCATION AGENCY**  
**Standard Application System (SAS)**  
**Academics 2000: First Things First**  
**The Texas Goals 2000 Initiative**  
**Reading Improvement Grants**  
**School Years 1997-98**

County-District No. \_\_\_\_\_

**SCHEDULE #6A—Provisions and Assurances**

- U. Amounts authorized for maximum recovery for travel and per diem costs against any state or federal funding source are restricted to those amounts which are approved in the State of Texas Appropriation Bill in effect for the particular funding period. Any amount over this limit must come from local funding sources. Applicant must recover funds at a lesser rate if local policy amounts are less than the maximum allowed by the state.
- V. Contractor shall submit expenditure reports in the time and manner requested by Agency as specified in the instructions to the Standard Application System (SAS) which are incorporated by reference.
- W. Applicant will provide reasonable opportunities for the participation by teachers, parents, and other interested parties, organizations and individuals in the planning for and operation of each program described in this application (20 USC 1232(e)).
- X. Any application, evaluation, periodic program plan or report relating to each program described in this application will be made readily available to parents and other members of the general public (20 USC 1232 (e)).
- Y. Contractor certifies that it has adopted effective procedures for acquiring and disseminating to teachers and administrators participating in each program described in this application significant information from educational research, demonstrations, and similar projects, and for adopting, where appropriate, promising educational practices developed through such projects (20 USC 1232(e)).
- Z. Contractor certifies that no funds provided under this grant shall be used to purchase supplies, equipment, or services from any companies found to be guilty of unfair business practices within 12 months from the determination of guilt.
- AA. Applicable to programs funded under the Elementary and Secondary Education Act, as amended: The local education agency assures it is in compliance with Section 37.007(d) of the Texas Education Code, which requires expulsion of a student who brings a firearm as defined by 18 USC Section 2891 to school [P.L. 103-382, Section 14601(d)(1)].

In addition, the applicant certifies that the local education agency has a policy requiring referral to the criminal justice or juvenile delinquency system of any student who brings a firearm or weapon to school [P.L. 103-382, Section 14602(a)].

The signing of Schedule #1—General Information by applicant indicates acceptance of all requirements described on this schedule.

**TEXAS EDUCATION AGENCY**  
**Standard Application System (SAS)**  
**Academics 2000: First Things First**  
**The Texas Goals 2000 Initiative**  
**Reading Improvement Grants**  
**School Year 1997-98**  
**SCHEDULE #6B—Debarment and Suspension Certification**

County-District No. \_\_\_\_\_

This certification covers all federal programs in this application and is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, Section 85.510, Participants' responsibilities, for all federally funded programs, regardless of the dollar amount. The regulations were published as Part VII of the May 26, 1988 *Federal Register* (pages 19160-19211). Copies of the regulations may be obtained by contacting the division to whom this application is submitted.

(BEFORE COMPLETING CERTIFICATION ON SCHEDULE #1, READ INSTRUCTIONS FOR THIS SCHEDULE)

**Certifying Statement**

- (1) The prospective lower tier participant certifies, by submission of this application, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this application.

**TEXAS EDUCATION AGENCY**  
**Standard Application System (SAS)**  
**Academics 2000: First Things First**  
**The Texas Goals 2000 Initiative**  
**Reading Improvement Grants**  
**School Year 1997-98**  
**SCHEDULE #6C—Lobbying Certification**

County-District No. \_\_\_\_\_

Submission of this certification covers all federal programs in this application and is required by the U.S. Department of Education and Section 1352, Title 31 of the United States Code. It is a prerequisite for making or entering into a subgrant or subcontract over \$100,000 with any organization. (Read the instructions for this schedule for further information.)

The applicant certifies by signature on Schedule #1—General Information, to the best of his or her knowledge and belief, that:

- (1) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form—LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. (See Schedule #6D—Disclosure of Lobbying Activities.)
- (3) The applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact on which the U.S. Department of Education and the Texas Education Agency relied when it made or entered into this grant or contract. Any organization that fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**TEXAS EDUCATION AGENCY**  
**Standard Application System (SAS)**  
**Academics 2000: First Things First**  
**The Texas Goals 2000 Initiative**  
**Reading Improvement Grants**  
**School Year 1997-98**

County-District No. \_\_\_\_\_

**SCHEDULE #6D—Disclosure of Lobbying Activities**

Complete this form to disclose lobbying activities for lobbying services procured (pursuant to 31 U.S.C. 1352). This disclosure form is required for any federal grant/contract received in excess of \$100,000 and on any subgrant/subcontract made by the grantee/contractor. (Read the instructions for this schedule for further information.) **Do not sign this disclosure form unless lobbying activities are being disclosed.**

Federal Program Name \_\_\_\_\_

<b>1. Type of Federal Action</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Subawardee <input type="checkbox"/> Tier _____, <i>if known:</i>  Congressional District, <i>if known:</i> _____	<b>5. If reporting entity in No. 4 is Subawardee, enter name and address of prime:</b> Texas Education Agency 1701 N. Congress Avenue Austin, TX 78701  Congressional District, <i>if known:</i> 10	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, <i>if applicable:</i> _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$ _____	
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual: last name, first name, MI):</i>	<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a: last name, first name, MI):</i>	
<i>(attach Continuation Sheet(s), if necessary)</i>		
<b>11. Information requested through this form is authorized by Title 31 U.S.C. Section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	Signature _____ Print Name _____ Title _____ Telephone No. _____ Date _____	
<b>Federal Use Only:</b>		Standard Form LLL

**TEXAS EDUCATION AGENCY**  
**Standard Application System (SAS)**  
**Academics 2000: First Things First**  
**The Texas Goals 2000 Initiative**  
**Reading Improvement Grants**  
**School Year 1997-98**  
**SCHEDULE #6E—Special Provisions and Assurances**

County-District No. \_\_\_\_\_

The applicant assures that:

- (A) The local education agency will not replace or reduce its funding for education or education reform on account of receiving any funds under this grant. [Section 302(b)].
- (B) A local education agency shall maintain expenditures for the activities assisted under this grant at a level equal to not less than the level of such expenditures maintained by the local education agency for the fiscal year preceding the fiscal year for which a grant is received. [Section 304(d)]
- (C) The local educational agency will develop a local improvement plan that meets the requirements of this Request for Application and will submit it in the time and manner requested by the Texas Education agency. [Section 309(a)(2)(A)]
- (D) The local educational agency shall be eligible to receive a grant to develop a local improvement plan for one fiscal year. (12 months from the beginning date of the project.) [Section 309(a)(2)(B)]
- (E) The broad-based panel is representative of the diversity of students and community with regards to race, language, ethnicity, gender, disability and socioeconomic characteristics and includes teachers, parents, administrators, business and community representatives, and others as appropriate. [Section 309(a)(3)(A)]
- (F) The local education agency which has approved a local improvement plan will submit the plan to the Texas Education Agency for approval together with a description of modifications to the plan and any comments from the local panel regarding the plan. [Section 309(a)(4)]
- (G) After approval of the local education agency's application by the Texas Education Agency, the panel shall be informed of progress on the plan by the local education agency, and the local education agency shall monitor the implementation and effectiveness of the local improvement plan in close consultation with teachers, related service personnel, principals, administrators, community members, and parents from schools receiving funds under this grant. The local education agency will assure that implementation of the local improvement plan does not result in a significant increase in paperwork for teachers. The panel will review the plan and based on the progress, determine if revisions to the local improvement plan should be recommended to the local education agency. The panel will periodically report such determination to the public. [Section 309(a)(5)]
- (H) In year one funding, not more than 25 percent of grant funds may be used to develop a local improvement plan that focuses on PreK-fourth grade student achievement in reading or for any local education agency activities approved by the Texas Education Agency that are reasonably related to carrying out the State or local improvement plans. [Section 309(a)(6)(A)(i)]
- (I) In year one funding, not less than 75 percent of grant funds for local improvement will be used to support individual school improvement initiatives related to providing all students in the school the opportunity to meet State content standards and State student performance standards in reading. [Section 309(a)(6)(A)(i)]
- (J) In subsequent years, at least 85 percent of the Local Improvement grant funds will be made available to individual schools to develop and implement comprehensive school improvement plans which are designed to meet the needs of their particular student population and help all students meet State content standards and State student performance standards. [Section 309(a)(6)(A)(ii)]
- (K) At least 50 percent of the funds made available by the local educational agency to individual schools under Local Improvement grant funds in any fiscal year will be made available to schools with a special need for such assistance, as indicated by a high number or percentage of students from low-income families, low student achievement, or other similar criteria developed by the local educational agency. [Section 309(a)(6)(B)]
- (L) the local education agency will not use more than five percent of the funds received from this grant in each fiscal year for administrative costs, including indirect costs. [Section 309(a)(6)(C)]
- (M) The local educational agency which uses funds under this grant to develop goals, State content standards or State student performance standards, curricular materials, and State assessments shall, upon request, make information related to such goals, standards, materials, and assessments available to private schools. [Section 310(a)(1)]
- (N) The local educational agency which uses funds under this grant for teacher and administrator training shall provide for the training of teachers and administrators in private schools located in the geographical area served by such agency.
- (O) No grant funds will be used to adopt policies that prevent voluntary prayer and meditation in public schools. [Section 1011]

The signing of Schedule #1—General Information by applicant indicates acceptance of all requirements described on this schedule.

**TEXAS EDUCATION AGENCY**  
**Standard Application System (SAS)**  
**Academics 2000: First Things First**  
**The Texas Goals 2000 Initiative**  
**Reading Improvement Grants**  
**School Year 1997-98**

County-District No. \_\_\_\_\_

**SCHEDULE #6E—Special Provisions and Assurances**  
**(continued)**

- (P) All instructional materials, including teacher's manuals, films, tapes, or other supplementary material which will be used in connection with any survey, analysis, or evaluation as part of any applicable program shall be available for inspection by the parents or guardians of the children. [Section 1017]

No student shall be required, as part of any applicable program, to submit to a survey, analysis, or evaluation that reveals information concerning:

- "(1) political affiliations;
- "(2) mental and psychological problems potentially embarrassing to the student or his family;
- "(3) sex behavior and attitudes;
- "(4) illegal, anti-social, self-incriminating and demeaning behavior;
- "(5) critical appraisals of other individuals with whom respondents have close family relationships;
- "(6) legally recognized privileged or analogous relationships, such as those of lawyers, physicians, and ministers; or
- "(7) income (other than that required by law to determine eligibility for participation in a program or for receiving financial assistance under such program), without the prior consent of the student (if the student is an adult or emancipated minor), or in the case of an unemancipated minor, without the prior written consent of the parent.

Educational agencies and institutions shall give parents and students effective notice of their rights under K and L.

- (Q) Assessments developed with grant funds will be used for decisions regarding graduation, grade promotion, or retention of students only on the conditions that students have been prepared in the content for which the students are being assessed. [Section 1019]
- (R) Except as provided in sections M and N above, funds will not be used to directly or indirectly benefit any school other than a public school. [Section 1020]

The signing of Schedule #1—General Information by applicant indicates acceptance of all requirements described on this schedule.
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**Texas Education Agency  
William B. Travis Building  
Document Control Center, Room 6-108  
1701 North Congress Avenue  
Austin, Texas 78701-1494**

This will acknowledge receipt of your application submitted under the Request for Application for Academics 2000 numbered RFA 701-97-449R98.

Please reference the Document Control Number shown below in all correspondence regarding this application.

---

Document Control Number (Assigned by TEA)

---

Application Title (To be completed by applicant)

---

Applicant's Contact Person (To be completed by applicant)

**CUT ALONG BROKEN LINE AND ATTACH TO FIRST COPY OF APPLICATION**

### **Application Receipt Acknowledgment**

This postcard is provided to expedite the notification of receipt of your application in the Texas Education Agency's Document Control Center. Cut out and self-address this postcard so that it will be returned to the proper person at your organization. Indicate any information that would be helpful to you in identifying this application.

Attach the postcard to the first copy of your application. This postcard will be returned to you with the Document Control Number that will be assigned by the Texas Education Agency.

If you fail to receive this notification of receipt of your application within fifteen (15) days from the date you mailed the application, call:

Texas Education Agency  
Document Control Center  
(512) 463-9304

Division No. 210  
Texas Education Agency  
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